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ABSTRACT

This guide is intended as a self-evaluation questionnaire for those institutions conducting internal reviews of financial aid programs and of their compliance with federal regulations. It addresses recommended good administrative practices with a view to minimizing incidents of misrepresentation and providing a clear audit trail. Title IV programs and campus-based programs are covered in separate sections. New requirements are flagged. Questionnaire items typically include a regulatory reference, the question, identification of the responsible office, and a yes/no response. Part 1 addresses general topics. Part 2 covers administration of the following specific federal programs: Pell and Supplemental Educational Opportunity grants; the Ford Direct, Perkins, Health Professions Student, Nursing Student, Primary Care, and Health Education Assistance loan programs; the Work Study, and Family Education Programs; Loans for Disadvantaged Students; Scholarships for Disadvantaged Students and for Students of Exceptional Financial Need; and Financial Assistance for Disadvantaged Health Professions Students; and Bureau of Indian Affairs programs. Part 3 covers the administration of financial aid and fiscal responsibilities. Sections address general fiscal administration, drawing down of federal funds, and cash management. The four appendices include: a checklist of recommended resources; listings of legislation on student aid, health professions, and nurse training; and a list of abbreviations frequently used in financial aid offices. (BF)

ED 409 809

Self-Evaluation Guide

For Institutional Participation In Title IV And Other Federal Programs

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Thirteenth Edition

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Self-Evaluation Guide

for
Institutional Participation

in Title IV and Other Federal Programs

Thirteenth Edition

N·A·S·F·A·A

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NATIONAL ASSOCIATION OF STUDENT FINANCIAL AID ADMINISTRATORS
1920 L Street, N.W., Suite 200, Washington, DC 20036

NASFAA is a non-profit corporation of institutions of postsecondary education and other individuals, agencies, and students, who are interested in promoting the effective administration of student financial aid in the United States.

Self-Evaluation Guide

Evaluation Form

Please take a few moments to complete this evaluation form. Return it along with any comments or suggestions to:

NASFAA
Training and Technical Assistance Division
1920 L Street, NW, Suite 200
Washington, D.C. 20036-5020
FAX: (202) 785-1487

I. Evaluate the format of the Self-Evaluation Guide (circle your responses).

A. Overall, how easy to work with was the 4-column format of the Guide?

1. Very easy to work with
2. Somewhat easy to work with
3. Somewhat difficult to work with
4. Very difficult to work with

If you circled 3 or 4, what suggestions do you have for making the format easier to work with?

____

____

B. Overall, how would you rate the organization and structure of the Guide?

1. Very good
2. Good
3. Fair
4. Poor

If you circled 3 or 4, what suggestions do you have for improving the organization?

____

____

II. Evaluate the content of the Self-Evaluation Guide (circle your responses).

A. How useful was the content of the Guide?

1. Very useful
2. Moderately useful
3. Somewhat useful
4. Not at all useful

If you circled 3 or 4, what suggestions do you have for improving the content?

____

____

____

____

B. How useful were the response options (Yes, No, N/A) in evaluating your and your institution's responsibilities, operations, and programs?

1. Very useful
2. Moderately useful
3. Somewhat useful
4. Not at all useful

If you circled 3 or 4, what suggestions do you have for improving the response options?

____

____

C. How helpful were the statements in the "Good Practice" sections for your office evaluation?

1. Very helpful
2. Moderately helpful
3. Somewhat helpful
4. Not at all helpful

If you circled 3 or 4, what suggestions do you have for improving the statements of Good Practice?

____

____

____

III. Evaluate the effectiveness of each part of the Self-Evaluation Guide (circle your responses).

A. Part 1: Institutional Responsibilities

1. Very effective
2. Moderately effective
3. Somewhat effective
4. Not at all effective

If you circled 3 or 4, what suggestions do you have for improving the effectiveness of Part 1?

____

____

B. Part 2: Administration of Federal Programs

1. Very effective
2. Moderately effective
3. Somewhat effective
4. Not at all effective

If you circled 3 or 4, what suggestions do you have for improving the effectiveness of Part 2?

____

____

III. Evaluate the effectiveness of each part of the Self-Evaluation Guide (continued).

C. Part 3: Administration of Financial Aid: Fiscal Office

1. Very effective
2. Moderately effective
3. Somewhat effective
4. Not at all effective

If you circled 3 or 4, what suggestions do you have for improving the effectiveness of Part 3?

____

____

D. Appendices

1. Very effective
2. Moderately effective
3. Somewhat effective
4. Not at all effective

If you circled 3 or 4, what suggestions do you have for improving the Appendices?

____

____

IV. Evaluate the overall benefits of completing the Self-Evaluation Guide (circle your responses).

A. How helpful was completion of the Guide in the administration of aid programs at your institution?

1. Very helpful
2. Moderately helpful
3. Somewhat helpful
4. Not at all helpful

If you circled 3 or 4, what suggestions do you have for improving the Guide to make it more helpful?

____

____

B. How time consuming was completion of the Guide?

1. Not at all time consuming
2. Somewhat time consuming
3. Moderately time consuming
4. Very time consuming

If you circled 4, what suggestions do you have for making the Guide less time consuming?

____

____

C. Given the amount of time it took your institution to complete the Guide, how beneficial was the exercise?

1. Very beneficial
2. Moderately beneficial
3. Somewhat beneficial
4. Not at all beneficial

D. Once completed, you will share the results of the Self--Evaluation Guide with the following **(check all that apply):**

____ Financial Aid staff

____ Fiscal Office staff

____ Senior management to discuss implementation and recommendations

____ Other offices as appropriate (please list):

____

____

____

____

____

____

Please list general comments or suggestions for improvement of the Self-Evaluation Guide.

____

____

____

____

Thank you for taking the time to complete this evaluation.
Your comments and suggestions will be used to improve subsequent editions of the Self-Evaluation Guide.

Foreword

As the complexity of financial aid programs has increased, so too has the demand for financial assistance as students face ever increasing costs of education. The importance of federal and state-sponsored student aid in concert with an institution's own programs must be recognized. Further, we must not underestimate the challenges inherent in administering these programs in an environment where change is the norm.

One of NASFAA's primary objectives is to assist aid administrators in developing efficient ways to manage the complex financial aid operation. In an effort to help institutions improve the operation of student assistance programs, the first edition of the *Institutional Guide for Financial Aid Self-Evaluation* was developed by the NASFAA Committee on Program Review and distributed to NASFAA members in the Fall of 1977.

Over the years, the *Guide* has been modified. A separate fiscal office section was developed and new sections were added to encompass changed, expanded, or new student aid programs. Like the Twelfth Edition, the Thirteenth Edition bears the name the *Self-Evaluation Guide for Institutional Participation in Title IV and Other Federal Programs* to emphasize the fact that proper administration of federal financial aid programs is an institution-wide effort and affects many aspects of institutional life beyond any one office or division.

The Thirteenth Edition also serves as an evaluation tool for the past year (1996-97) and as a means of checking policy and procedural changes for the year just beginning (1997-98). NASFAA hopes that this combined evaluation tool will be a valuable exercise for the time invested in completing it.

To facilitate its use, the *Guide* is once again being provided in loose-leaf format and is designed to fit in a 1-1/2" to 2" binder. This format was suggested by users who found that the breadth and scope of the *Self-Evaluation Guide* required that it be completed by more than one person. The loose-leaf format makes it easy to for users to divide the document into sections and distribute those sections to the appropriate school official for completion. NASFAA welcomes any additional suggestions for improvement and has included an evaluation form with this publication to encourage comment.

While the *Guide* does not define every program regulation and legislative statute governing the federal programs, it does attempt to describe the majority of requirements and principles of good practice. Citations to regulations or law appear throughout, and complete lists of statutes and regulations pertaining to federal student financial aid programs are included in the appendices.

The Department of Education has listed the *Self-Evaluation Guide* as a general reference document in its Audits Guides. We would point out, however, that the *Guide* has not been submitted to the U.S. Department of Education for review or endorsement, and while completion of the *Guide* would constitute a good practice, it is not a requirement for federal program review or audit purposes.

May 1997

Instructions for Use of the Self-Evaluation Guide

Purpose and Applicability

The *Self-Evaluation Guide* has been designed as an in-house tool to help institutions evaluate the efficiency and effectiveness of their administration of financial aid programs and compliance with federal laws and regulations.

An effort has been made to include all questions that would normally be relevant in an official program review at any type of postsecondary institution. The *Self-Evaluation Guide* goes beyond those requirements, however, to include other recommended good administrative practices, with a view to minimizing incidents of misrepresentation and providing a clear audit trail for every transaction. Although the *Self-Evaluation Guide* has been designed for use by all institutions participating in the financial aid programs, it is by no means all-inclusive for all types of institutions; nor do recommended good practices necessarily apply to all institutions. It is incumbent on aid administrators to be familiar with the regulations and good practices relevant to their particular institution.

How to Complete the *Self-Evaluation Guide*

The *Self-Evaluation Guide* is constructed in a question-and-answer format. Generally, a "yes" response to a question indicates the institution is meeting the requirement or standard presented; a "no" response means some follow-up action is desirable or necessary. Any variation between a clear "yes" or "no" answer can be indicated by positioning the check mark to the left or right, or by using a percentage figure if desired. This would indicate that the institution is in partial agreement, but some change or improvement may be needed. Whenever questions are not applicable to the institution (for example, the institution may not be participating in all federal or state programs) the "n/a" should be checked. Space for comments or an explanation of certain responses has been left at the end of each section.

All institutions participating in any Title IV program should complete Part 1 and the General Provisions section of Part 2. Institutions participating in any of the campus-based programs should complete Section III (Campus-based Programs, Common Provisions) as well as the sections dealing with the individual programs in which the institution participates.

The information contained in the *Self-Evaluation Guide* reflects NASFAA's understanding of the laws and regulations applicable to award years 1996-97 and 1997-98. Requirements that pertain to only one of the two award years covered by this edition of the *Self-Evaluation Guide* are designated by a symbol:

● means the requirement pertains to 1996-97 but not to 1997-98. The requirement might have been either deleted or changed substantively.

✦ means the requirement pertains only to 1997-98. The requirement may be new, or may be a revised version of a previous rule.

For convenience, these symbols are summarized in the footer of each page. When no bullet or diamond appears next to the requirement, it pertains to both 1996-97 and 1997-98.

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References

References to current regulations or, where final regulations have not yet been issued, to statute, are included for each program in the left hand column. Occasionally, references such as Dear Colleague Letters, the *Federal Student Financial Aid Handbook* issued by the Department of Education, or *Student Financial Aid Guidelines* issued by the Department of Health and Human Services, are included to clarify provisions of law not codified in regulation, as well as policy interpretations and other guidance.

If the individual completing a section does not understand a particular question or is not familiar with the requirement, the references often provide further detail.

Regulatory references appear in the form of abbreviated citations. In the Title IV programs, regulatory references are to Title 34 of the Code of Federal Regulations, formally cited 34 CFR. For example, a specific reference would formally read 34 CFR 690.2, meaning Title 34, Part 690, Section 690.2, where "Part" refers to the regulations pertaining to a specific program. We have used only the section references, as in the example above, 690.2. Several citations are listed if the item is included in more than one section of the regulations. You will also note that the different sections generally pertain to different programs: Part 673 pertains to the Campus-based Common Provisions; Part 676 to the FSEOG Program; Part 675 to the FWS Program; Part 690 to the Federal Pell Grant Program; Part 674 to the Federal Perkins Loan Program (NDSL); Part 682 to the Federal Family Education Loan programs; and Part 685 to the Direct Loan Program. General Provisions regulations, which govern all Title IV programs, are contained in Part 668.

Other abbreviations are used. Although Appendix E lists a multitude of abbreviations used within the financial aid field, users of the *Self-Evaluation Guide* will run into the following ones in the reference column and in the questions themselves:

FSFA Handbook:	Federal Student Financial Aid Handbook
DCL:	Dear Colleague Letter. The first part of a DCL designation alludes to the program it affects: CB means campus-based; P means Federal Pell Grant; DLB means Direct Loan; S means a letter pertaining to the FFEL program sent to schools; GEN means the letter concerns the General Provisions.
ED, USDE, or USED:	U.S. Department of Education

Who Should Complete the Guide

The *Guide* should be completed by the financial aid administrator in cooperation with the fiscal officer responsible for the fiscal management of the federal financial aid funds and any other institutional official whose duties touch on compliance with federal financial aid regulations. The loose-leaf construction and page numbering format (each section is separately numbered, beginning with page 1) are intended to facilitate dividing this evaluation task among all concerned individuals. NASFAA recommends that the financial aid administrator share the results of this self-evaluation with his/her supervisor and/or the chief executive of the institution. A space for identifying the person responsible for the review of each section and the date reviewed has been preprinted in the upper right hand corner of the first page of each section. A space for indicating the office responsible for carrying out specific tasks or functions appears to the right of each question.

Effective Use of the *Self-Evaluation Guide*

If fully utilized, the *Self-Evaluation Guide* is a valuable tool. For example, the *Guide* may be used to:

1. Assist the financial aid administrator in conveying to the administration (or other target group) the magnitude and complexity of the financial aid operation.
2. Document the need for an operating budget, staffing, and physical accommodations commensurate with the size and scope of the institution's financial aid programs.
3. Develop a profile of the financial aid operation for affirmation and/or revision of policies, office procedures, and administrative controls.
4. Train new staff and enhance the skills and knowledge of current staff.
5. Enable the institution to prepare for audits and program reviews.
6. Assist in the preparation of financial aid and fiscal reports.
7. Serve as an outline for periodic checks of the financial aid operation to determine progress being made in plans for improvement.
8. Provide an outline of information to be included in the financial aid staff manual or institutional policies and procedures.

Where to Get Copies of Regulations and Public Laws

Information regarding availability and cost of ordering copies of Public Laws or back issues of the Federal Register may be obtained from the Superintendent of Documents, U.S. Government Printing Office, Publications Department, Washington, D.C. 29402. Most larger libraries will have up-to-date copies of the Code of Federal Regulations and the United States Code available for reference. In addition, copies of the Department of Education's compilation of the regulations, Dear Colleague Letters, handbooks, and guides can be obtained by calling 1-800-4-FEDAID.

Evaluating the *Self-Evaluation Guide*

NASFAA is committed to providing resource materials useful to the practicing aid administrator and actively solicits your suggestions for improvements to this publication. We would appreciate your completing the enclosed Evaluation Form to assist us in improving future editions of the *Guide*. If you would like to offer further comments or suggestions, please send them to Marilyn LeBlanc, Director of Training and Technical Assistance.

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Self-Evaluation Guide for Institutional Participation in Title IV and Other Federal Programs

Part 1: Institutional Responsibilities

I. Institutional Policies and Procedures

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
Institutional Eligibility			
600.4(a)(5) 600.5(a)(6) 600.6(a)(5)	A. Has the institution maintained the proper accreditation or preaccreditation from a nationally recognized accrediting agency, or approval from a recognized state agency, according to its institutional classification?	____________	yes___no___
600.11(a)	1. If the institution is changing accrediting agencies, has the institution provided ED with appropriate information and reasonable explanations?	____________	yes___no___
600.11(b)	2. If the institution uses multiple accrediting agencies, has the institution provided explanations to ED and to each accrediting agency, and designated which agency should be used to determine eligibility?	____________	yes___no___ n/a___
600.5(a)(8) 600.5(d)	B. If a proprietary institution, does the institution ensure that no more than 85% of its revenues are derived from Title IV program funds?	____________	yes___no___ n/a___
●600.5(e)(1)	1. ●Does the institution substantiate this calculation in its annual financial audit?	____________	yes___no___ n/a___
✦668.23(d)(4)	2. ✦Does the institution disclose, in a footnote to its financial audit, the percentage of revenue derived from Title IV program funds?	____________	yes___no___ n/a___
600.4(a)(2) 600.5(a)(3) 600.6(a)(2)	C. Does the institution admit as regular students (i.e., students seeking the institution's degree, certificate, or other recognized educational credential) only individuals who have a high school diploma or its recognized equivalent or are beyond the age of compulsory attendance?	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question		Responsible Office	Response
600.7(a)(1)(iv) 600.7(e)		1. Do students who do not have a high school diploma or recognized equivalent constitute less than 50% of regular students? (*Not applicable if institution provides 2-year associate or 4-year bachelor's program, or if waived by ED.*)	____________	yes___no___ n/a___
668.14(b)(13) DCL GEN-89-58 DCL GEN-90-33		2. Does the institution make available to Title IV recipients admitted without a high school diploma or its recognized equivalent a program that is proven successful in assisting students in obtaining a recognized equivalent?	____________	yes___no___ n/a___
600.7(a)(1)(iii); 600.2, Incarcerated student; 600.7(c),(e)	D.	Does the institution ensure that no more than 25% of its enrolled students are incarcerated? *(Not applicable to specified programs of nonprofit institutions for whom the ED has waived the restriction.)*	____________	yes___no___ n/a___
600.7(b)(1)	E.	Does the institution count telecommunications courses as correspondence courses if the sum of telecommunications courses and other correspondence courses equals or exceeds 50% of the institution's courses?	____________	yes___no___ n/a___
600.7(a)(1)(i) 600.7(b)		1. Does the institution ensure that fewer than 50% of its courses are correspondence courses? [*Not applicable to institutions meeting section 521(4)(C) of the Carl D. Perkins Vocational and Applied Technology Education Act.*]	____________	yes___no___ n/a___
600.7(a)(1)(ii) 600.7(b)(1),(3) 600.7(e)		2. Does the institution ensure that no more than 50% of its regular students are enrolled in correspondence courses? (*Not applicable to institutions meeting section 521(4)(C) of the Carl D. Perkins Vocational and Applied Technology Education Act; may be waived by ED for institutions offering 2-year associate or 4-year bachelor's degrees.*)	____________	yes___no___ n/a___
600.10(d) 668.12(b)(1) 668.13(b) 668.14(h) 668.26(a)	F.	Does the institution monitor the expiration date of its eligibility so that it can submit its renewal application at least 90 days prior to the expiration of its current period of participation?	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ◆ are effective beginning 1997-98.

Reference		Question	Responsible Office	Response
600.10(a)(2),(b)(3) 600.21(b),(c) 668.12(b)(2),(c)(1)	G.	Are all locations at which students are aided either listed in an eligibility notice from the Department of Education, or exempted from a determination of eligibility by ED?	____________	yes___ no___
600.30(a)(3) 668.12(c)(1)(i)		1. Has the institution notified ED of any additional location at which it offers at least 50% of an educational program?	____________	yes___ no___ n/a___
600.30(a) 668.12(c),(d)	H.	Are appropriate institutional officials aware that the institution must notify ED in writing within 10 days of a change in: ▸ name, location or address of the institution, a branch campus, or an additional location; ▸ the way it measures program length (i.e., clock or credit hours) ▸ ownership resulting in a change in control; ▸ institutional status as proprietary, public, or nonprofit; ▸ individuals who have acquired the ability to substantially affect the actions of the institution?	____________	yes___ no___
600.9	I.	If the institution contracts with another institution or organization to provide part of its educational program, or allows its students to take courses elsewhere while still enrolled at the institution, does it enter into a written agreement with the other institution or organization?	____________	yes___ no___ n/a___
600.9(a),(b)(1)		1. Does the institution give credit for courses taken under the written agreement on the same basis as if the coursework were provided by the institution itself?	____________	yes___ no___ n/a___
600.9(b)		2. Before the institution enters into a written agreement with an ineligible institution, does it ensure that the other institution's participation was not terminated, or that the other institution did not withdraw from participation under a termination, show cause, suspension, or similar proceeding?	____________	yes___ no___ n/a___
600.9(b)(3)		3. Does the institution limit the portion of its program provided by an ineligible institution to no more than 25% (or 50%, if both institutions are not owned or	____________	yes___ no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	controlled by the same entity, and the institution's accrediting or relevant state agency determines that the written agreement meets its standards for contracting out educational services)?		
668.17	J. If the institution's cohort default rate is greater than 20%, is the institution following any requirements imposed on it by the Department of Education as a result of that rate?	______	yes___no___ n/a___
Program Participation Agreement	K. Is the institution in compliance with applicable civil rights statutes and regulations?	______	yes___no___
86.3 668.14(c)(1)	L. Does the institution have in operation a drug abuse prevention program that is accessible to any officer, employee or student at the institution?	______	yes___no___
86.100(b); 1996-97 FSFA Handbook, p. 3-50	1. Does the institution review its drug prevention program once every two years to determine its effectiveness and ensure its sanctions are being enforced?	______	yes___no___
668.71 - .74	M. Does the institution ensure that statements and information given to enrolled and prospective students and their families, and to ED, do not constitute misrepresentation of the nature of its educational program, its financial charges, or the employability of its graduates?	______	yes___no___
Program Eligibility			
668.8	A. Has the institution identified which of its educational programs are eligible for Title IV participation?	______	yes___no___
600.10(c)	1. Has the institution obtained a determination of eligibility from ED for new educational programs, unless the new program: ▸ leads to an associate, baccalaureate, professional, or graduate degree; or ▸ is for the same or related occupation as a previously-designated eligible program at that institution, and is at least 8 semester hours, 12 quarter hours, or 600 clock hours long?	______	yes___no___ n/a___

Reference		Question	Responsible Office	Response
668.8(k),(l); DCL GEN-95-38	B.	For undergraduate programs measured in credit hours, has the institution applied the clock/credit conversion formula to determine program eligibility *unless*: ▸ the program is at least 2 years in length and leads to an associate's, bachelor's, professional, or other equivalent degree; or ▸ each course within the program is acceptable for full credit toward the institution's associate, bachelor's, or professional degree, or other equivalent degree, provided the degree requires at least two academic years of study; or ▸ the institution is a public or private nonprofit hospital-based school of nursing that awards a diploma for its program?	____________	yes___no___ n/a___
668.8(i)	C.	For flight training programs, does the program have a current valid certification from the Federal Aviation Administration?	____________	yes___no___ n/a___
668.8(j)(1)(i),(2)	D.	For a program that consists solely of English as a Second Language (ESL) instruction, does the institution admit only students that it has documented need the ESL instruction to use already existing knowledge, training, or skills?	____________	yes___no___ n/a___
668.8(j)(3)		1. Does the institution limit Title IV eligibility to Federal Pell Grant for ESL program students?	____________	yes___no___ n\a___
668.2, Academic year; 1996-97 FSFA Handbook, p. 3-22	E.	Is the academic year defined in writing for each eligible program of study, in terms of weeks of instructional time and also, for undergraduate programs, in terms of credit or clock hours?	____________	yes___no___
668.2, Academic year; 668.8(b)(2)		1. Does the institution define a "week of instructional time" as a consecutive seven-day period in which:		
668.8(b)(3)(i),(4)		▸ For credit-hour programs using semesters, trimesters, or quarters: at least one day of regularly scheduled instruction, examination, or preparation for examinations occurs?	____________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
	NOTE: The preamble to the 11/29/96 Cash Management regulations states that a semester, trimester, or quarter that does not conform to traditional usage (i.e. for semesters and trimesters, each term is approximately 15 weeks, and full time is defined as 12 semester or trimester hours; for quarters, each term is approximately 10 - 12 weeks and full time is defined as 12 quarter credits), is not considered to be a semester, trimester, or quarter (FR p. 60581).		
668.8(b)(3)(i),(4)	▸ For all clock-hour programs: at least one day of regularly scheduled instruction, examination, or preparation for examinations occurs?	___	yes___no___ n/a___
668.8(b)(3)(ii),(4)	▸ For credit-hour programs not using semesters, trimesters, or quarters: at least 12 hours of regularly scheduled instruction, examinations, or preparation for examinations occurs?	___	yes___no___ n/a___
668.2, Academic year; 668.8(b)(4)	a. Are orientation, counseling, vacation, or other activities not related to class preparation or examinations ***excluded*** in calculating number of weeks?	___	yes___no___
668.8(e)	F. For undergraduate programs of less than 600 clock hours that do not require an associate degree or equivalent for admission, does the program meet the required qualitative factors (completion rate, placement rate, limits on length, minimum time in existence)?	___	yes___no___ n/a___
668.8(e)(2)	1. Are completion and placement rate calculations substantiated in the institution's annual audit?	___	yes___no___ n/a___
668.14(b)(26)(i)	G. If a program's stated objective is gainful employment in a recognized occupation, has the institution demonstrated a reasonable relationship -- as defined in regulation -- between the length of the program and entry level requirements for that occupation?	___	yes___no___ n/a___

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Items marked ● applied to 1996-97 but not to subsequent years.
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Reference		Question	Responsible Office	Response
668.14(b)(26)(ii)	1.	Has the institution established that the training is needed for the student to obtain employment in that occupation?	____________	yes___no___ n/a___
Administrative Requirements				
668.16(c)(2)	A.	Are the functions of authorizing payments and disbursing/delivering funds to students divided so that no office has responsibility for both?	____________	yes___no___
668.16(c)(2) 668.15(f)(2),(3)	1.	Are these two functions carried out by organizationally independent individuals who are not members of the same family, or who do not together exercise substantial control over the institution?	____________	yes___no___
668.25(c)	B.	If a third-party servicer is used to administer any aspect of Title IV participation, does the institution's written contract with the servicer comply with regulatory requirements, including joint and several liability?	____________	yes___no___ n/a___
668.14(b)(25) ●668.24(d) ✦668.23(h)(4)	1.	Does the institution understand that it is liable for any funds that its servicer has improperly spent, and any refunds that its servicer fails to pay?	____________	yes___no___ n/a___
668.25(e)	2.	Does the institution have procedures for notifying ED, within 10 days, that it has: ▸ entered into a new contract with a third-party servicer; ▸ significantly modified an existing contract with a servicer; ▸ terminated a contract or had its contract terminated by the servicer; ▸ discovered that its contractor has stopped providing services, gone out of business, or filed for bankruptcy?	____________	yes___no___ n/a___
668.14(b)(12); 1996-97 FSFA Handbook, p. 3-52	C.	Is the appropriate institutional official aware of the need to return certifications required by the Department of Education?	____________	yes___no___
668.14(b)(19)	D.	Is the appropriate institutional official aware of the requirement to complete in a timely manner federal data collection surveys [e.g.,	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Comments (Cont'd.)

		the Integrated Postsecondary Education Data System (IPEDS)]?		
✦668.16(o)	E.	✦Is the institution aware that participation in required electronic processes is used as one measure of an institution's administrative capability? *NOTE: Currently, the Department of Education has not identified any required electronic processes. The Department plans to notify institutions of required processes through a Notice to be published in the Federal Register.*	____________	yes___no___
668.14(b)(21)	F.	Does the institution ensure that no penalty is imposed on a student who is unable to meet a financial obligation to the institution due to: ▸ required delayed disbursement of Title IV loan proceeds, or ▸ delays caused by the institution?	____________	yes___no___
668.14(b)(3) 682.603(g) 685.300(b)(10)	G.	Does the institution ensure that no student is charged a fee for processing or handling any application, form, or data that is required to: ▸ determine a student's Title IV assistance or ▸ receive any FFEL or Direct Loan benefits?	____________	yes___no___
●668.23(h)(2)	H.	●For each regular student enrolled in any eligible program, *regardless of whether the student received Title IV aid*, does the institution maintain records regarding admissions requirements and the educational qualifications of the student?	____________	yes___no___
●668.23(h)(1) ✦FR, 11/27/96, p. 60494	I.	●For each Title IV recipient, does the institution maintain, in addition to financial aid records, records regarding the student's admission, enrollment status, program and courses, academic progress, refunds due or paid? *✦NOTE: The regulations no longer list all of the specific student records which must be kept by the institution. Instead, a comprehensive list is to be included in the FSFA Handbook.*	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
●668.23(h)(2)(vii) ✦668.24(a),(b)	J. Does the institution maintain financial and other institutional records necessary to determine the institutional eligibility, financial responsibility, and administrative capability of the institution?	______________	yes___no___
●668.23(h)(1)(vii)	K. ●Does the institution maintain financial and other institutional records necessary to determine the institutional eligibility, financial responsibility and administrative capability of the institution?	______________	yes___no___
✦668.24(c)	L. ✦Does the institution maintain the following records relating to student eligibility:	______________	yes___no___
✦668.24(c)(i)	1. the SAR or ISIR used to determine eligibility for Title IV funds;	______________	yes___no___
✦668.24(c)(ii)	2. application data submitted to the Secretary, lender, or guaranty agency by the institution on behalf of students or parents;	______________	yes___no___
✦668.24(c)(iii)	3. documentation relating to each student's or parent borrower's eligibility for Title IV funds;	______________	yes___no___
✦668.24(c)(iv)	4. documentation relating to each student's or parent borrower's receipt of Title IV funds, including but not limited to:		
	▸ the amount of the grant, loan , or FWS award; its payment period; its loan period, if appropriate; and the calculation used to determine the amount of the grant, loan, or FWS award;	______________	yes___no___
	▸ the date and amount of each disbursement or delivery of grant or loan funds, and the date and amount of each payment of FWS wages;	______________	yes___no___
	▸ the amount, date, and basis of the institution's calculation of any refunds and overpayments due to or on behalf of the student; and	______________	yes___no___
	▸ the payment of any refund or overpayment to the Title IV fund, a lender or the Secretary.	______________	yes___no___

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Reference		**Question**	**Responsible Office**	**Response**
✦668.24(c)(v)	5.	documentation of and any information collected at any initial or exit loan counseling required by applicable program regulations? *NOTE: Prior to 1997-98, the requirements regarding maintenance of records related to student eligibility were found in the individual program regulations.*	______________	yes___no___
✦668.24(c)(vi)	M.	✦Does the institution maintain copies of all reports and forms used by the institution in its participation in the Tile IV programs, and any records needed to verify data that appears in those reports and forms?	______________	yes___no___
✦668.24(c)(1)(vii)	N.	✦Does the institution maintain documentation supporting the institution's calculation of its completion and graduation rates?	______________	yes___no___
✦668.24(d)(3)	1.	✦Are appropriate instututional officials aware of acceptable formats for maintainace of required records?	______________	yes___no___
●668.23(c)(1)(i), (iv); ✦668.23(a)(2),(5)	O.	Does the institution arrange a compliance audit of each(● award year's) (✦fiscal year's) Title IV activities by an independent auditor?	______________	yes___no___
668.23(e)(1)(ii)	1.	Does the institution's arrangement with the auditor require that the auditor give ED access to records or other documents necessary to review the audit?	______________	yes___no___
●668.23(c)(2)(i)(A); ✦668.23(b)(1)	2.	Does each audit cover the period of time since the last audit?	______________	yes___no___
✦668.23(b)(1); FR, 11/29/96, p. 60574	3.	✦Does the audit cover the partial year between July 1, 1997 and the end of the institution's fiscal year?		
✦668.23(b)(1)	4.	✦Do subsequent audits cover all Title IV activities that occur during the institution's fiscal year?	______________	yes___no___ n/a___
●668.23(c)(3) ✦668.23(a)(4); *Audit Guide*, 6/95, p. 1-12	5.	Does the institution submit 5 copies of the audit for its most recently concluded award year to the Department of Education within 6 months of the end of the institution's fiscal year, or in	______________	yes___no___

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Comments (Cont'd.)

		compliance with the Single Audit Act, OMB Circular 128, or OMB Circular 133, as appropriate?		
Audit Guide, 6/95, p. 1-6	6.	Does the institution include with its audit report, a corrective action plan addressing any findings?	____________	yes___no___

Financial Responsibility

●668.15(e)(2),(3) ✦668.23(a)(4), (d)	A.	Does the institution submit to ED an annual financial audit within: ● 4 months of the end of the institution's fiscal year, or in accordance with the Single Audit Act, OMB Circular 128, or OMB Circular 133, as appropriate? ✦ 6 months of the end of the institution's fiscal year, or in accordance with the Single Audit Act, OMB Circular 128, or OMB Circular 133, as appropriate?	____________	yes___no___
668.15(c)(2)(iii)	1.	Is the institution aware that it will not be considered financially responsible if it has been cited within the past 5 years for failure to submit audits on a timely basis?	____________	yes___no___
668.111-668.124	2.	Is the institution familiar with the due process provisions applicable to program review and audit findings?	____________	yes___no___
668.15(b)(6)	3.	Is the institution aware that it will not be considered financially responsible if:		
	a.	in its most recent audit report the auditor expressed either substantial doubt about the institution's ability to continue as a going concern, or a disclaimer or adverse opinion?	____________	yes___no___
668.15(c)(2)(iv)	b.	it fails to resolve compliance problems identified by program reviews/audits?	____________	yes___no___
668.15(c)(2)(ii)	c.	as a result of a program review or audit, it must repay more than 5% of its Title IV funds for an award year?	____________	yes___no___
668.15(b)(1)	B.	Are the services described in official publications and statements provided?	____________	yes___no___

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Reference	Question	Responsible Office	Response
668.15(b)(2)	C. Does the institution provide the administrative resources needed to meet regulatory standards for participating in the Title IV programs?	______	yes___no___
668.15(b)(3)	D. Is the institution meeting its financial obligations, including required refunds and payment of liabilities to ED?	______	yes___no___
668.15(b)(4)	E. Is the institution current on debt payments?	______	yes___no___
668.15(b)(7),(8),(9); 668.15(d)	F. Are appropriate institutional officers familiar with the required financial standards for their institutional type (for-profit/nonprofit/public)?	______	yes___no___
Information Sharing			
668.14(b)(4)	A. Does the institution have procedures under which it provides, in a timely manner, any information regarding its administrative capability or financial responsibility to: ▸ the U.S. Department of Education; ▸ guaranty agencies that guarantee FFELP loans for attendance at the institution or any of the institution's locations; ▸ the state agency that authorizes or approves the institution or its locations; ▸ its (or any of its locations') nationally recognized accrediting agency; and ▸ a State Postsecondary Review Entity?	______	yes___no___
●668.23(b),(e) ✦668.24(f)	B. Does the institution have procedures whereby it can provide access in a timely manner to records and personnel for: ▸ independent auditors; ▸ the U.S. Department of Education; ▸ ED's Inspector General; ▸ the U.S. Comptroller General; ▸ a guaranty agency in whose program the institution participates; and	______	yes___no___

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Reference	Question	Responsible Office	Response
	▸ its nationally recognized accrediting agency?		
682.610(f)	C. Does the institution have procedures to respond promptly to requests for any information it has about the last known address, surname, employer, and employer address of a borrower who attends or has attended the school, from: ▸ ED; ▸ a lender; or ▸ a guaranty agency?	______________	yes___no__
668.19(b) DCL GEN-96-13	D. Does the institution promptly provide financial aid transcripts to any other institutions that request them?	______________	yes___no___

Comments on Institutional Policies and Procedures ____________________________________

Comments (Cont'd.)

II. Personnel and Inter-Office Communication

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
668.16(b)(1)	A. Has the institution designated an individual to be responsible for administering and coordinating all financial aid programs?	______________	yes___no___
668.16(b)(1)	1. Is the designated individual certified by the state in which the institution is located, if the state requires certification of financial aid administrators?	______________	yes___no___ n/a___
668.16(b)(1)	a. If the state does not require certification, is the designated individual otherwise capable of administering the Title IV programs?	______________	yes___no___ n/a___
668.16(b)(3)	B. Do *all* institutional offices communicate to the designated aid administrator any information that bears on a student's eligibility for Title IV aid?	______________	yes___no___
668.16(b)(4)	C. Do written procedures or written information indicate the responsibilities of each office with respect to the approval, disbursement, and delivery of Title IV assistance and the preparation and submission of reports to ED?	______________	yes___no___
668.16(b)(2)	D. Does the institution use an adequate number of qualified persons to administer Title IV aid?	______________	yes___no___
668.45(a)(1)	E. Unless it has a waiver from ED, has the institution dedicated one or more employees to help, *on a full-time basis*, enrolled and prospective students obtain financial aid and institutional information?	______________	yes___no___
668.45(a)(2),(3)	1. Is this service available upon reasonable notice throughout the institution's normal administrative working hours?	______________	yes___no___
668.44(a)(7)	2. Does the institution publish and make readily available the title(s) of person(s) who provide this service, and how and where the individual(s) may be contacted?	______________	yes___no___
668.14(b)(22)	F. Does the institution prohibit bonuses or commissions based directly or indirectly on securing student enrollment or financial aid? (*Does not apply to recruiting ineligible foreign students; does not prohibit certain non-monetary gifts to students or alumni for referrals.*)	______________	yes___no___

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PERSONNEL AND INTER-OFFICE COMMUNICATION

Reference	**Question**	**Responsible Office**	**Response**
668.14(b)(22)	1. Does the institution refrain from contracting with any entity that provides such incentives?	____________	yes___no___

Comments on Personnel and Inter-Office Communication ______________________________

III. Student Consumer Information

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question		Responsible Office	Response
	Informational Materials Regarding Financial Aid and Academic Programs			
668.41(a)(2) 668.43(a)(1),(2) 668.16(h); 1996-97 FSFA Handbook, p. 3-160	A.	Does the institution describe in its informational materials all financial aid programs available at the institution, including need-based and non-need-based programs from federal, state, local, private, and institutional sources?	____________	yes___no___
668.14(b)(11)		1. Does the institution inform enrolled eligible FFELP borrowers of the availability of, and eligibility for, state grant funds from which the state in which the institution is located?	____________	yes___no___
668.14(b)(11)		a. Does the institution inform out-of-state borrowers of the source of information for grants from their states?	____________	yes___no___
	B.	Does the description of each financial aid program include information about:		
668.43(b)(1)		1. Procedures and forms by which students apply?	____________	yes___no___
668.43(b)(2)		2. Eligibility requirements?	____________	yes___no___
668.43(b)(3),(4)		3. Criteria by which the institution selects aid recipients and determines award amounts?	____________	yes___no___
668.44(a)(8)	C.	Does the institution state in its materials that enrollment in a program of study abroad approved for credit by the home institution may be considered enrollment at the home institution for the purpose of applying for federal aid?	____________	yes___no___
668.43(c) 668.16(h)	D.	Do the institution's informational materials describe the rights and responsibilities of aid recipients, and specifically Title IV aid recipients, including:	____________	yes___no___
668.43(c)(1)		1. Criteria for continued eligibility?	____________	yes___no___
668.43(c)(2)		2. Institutional standards for determining satisfactory academic progress, and procedures by which a student who has failed to maintain progress may reestablish eligibility for financial aid?	____________	yes___no___
668.43(c)(3)		3. Method and frequency of disbursements?	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

STUDENT CONSUMER INFORMATION

Reference	Question	Responsible Office	Response
668.43(c)(5)	4. Terms and conditions of employment provided as financial aid?	____________	yes___no___
668.43(c)(4)	5. The terms of a student's loan, including the necessity for repayment and a sample repayment schedule?	____________	yes___no___
HEA, Sec. 485(a)(1)(M)(i); DCL GEN-92-6	a. Do the terms describe conditions under which students receiving a Federal Perkins Loan, Direct Loan, or Stafford Loan may obtain a deferral of a loan repayment for volunteer service?	____________	yes___no___
HEA, Sec. 485(a)(1)(M)(ii); DCL GEN-92-6	b. Do the terms describe conditions under which students receiving a Perkins Loan may obtain partial cancellation for volunteer service?	____________	yes___no___
668.44(a)(1) 668.22(a)(3)	E. Do the institution's materials give the following costs of attending the institution: ▸ tuition and fees, ▸ books and supplies, including the costs of required supplies and equipment, ▸ room and board, ▸ transportation costs for commuters or for students living on or off campus, and ▸ any additional cost of the program in which the student is enrolled or expresses a specific interest?	____________	yes___no___
668.44(a)(2),(3) 668.16(h)(3)	F. Does the institution publish its refund policy for unearned tuition and fees or other refundable institutional costs, and the institution's policies regarding the distribution of any portion of the refund back to the Title IV programs?	____________	yes___no___
668.22(a)(2)	1. Is this statement provided prior to the earlier of the student's enrollment or execution of an enrollment agreement?	____________	yes___no___
668.22(a)(2)	2. Does the statement inform students that examples of the refund policy are available?	____________	yes___no___
668.22(a)(2)	a. Are the examples provided to students upon request?	____________	yes___no___
668.22(a)(2)	3. Does the statement include procedures that a student must follow to obtain a refund?	____________	yes___no___

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Reference	Question	Responsible Office	Response
668.22(c)(5)(ii) 668.22(d)(3)(ii)	4. If the institution excludes from pro-rata or Federal refund calculations the cost of equipment that is unreturnable or is not returned in good condition, does the institution:		
668.22(c)(5)(ii) 668.22(d)(3)(ii)	a. Clearly and conspicuously disclose in the enrollment agreement any restrictions on the return of equipment?	____________	yes___no___
668.22(c)(5)(ii) 668.22(d)(3)(ii)	b. Notify the student in writing prior to enrollment that return of the equipment is required within 20 days of the student's withdrawal?	____________	yes___no___
668.22(g)(3)(iii)(B)	5. If the institution does not wish to pay refunds it demonstrates would be $25 or less, does the enrollment agreement request the student's authorization to allow the institution to retain any amount of such refunds that would be allocated to the Title IV loan programs?	____________	yes___no___
	G. Do the institution's informational materials describe the academic programs of the institution, including:		
668.44(a)(4)(i)	1. Degree and other educational and training programs?	____________	yes___no___
668.44(a)(4)(ii)	2. Instructional, laboratory, and other physical plant facilities which relate to the academic program?	____________	yes___no___
668.44(a)(4)(iii)	3. Faculty and other instructional personnel?	____________	yes___no___
668.44(a)(5)	H. Do the institution's informational materials give the names of associations, agencies, or governmental bodies which accredit, approve, or license the institution and its programs?	____________	yes___no___
668.44(a)(5)	1. Does the information include procedures by which documents describing accreditation, approval, or licensing may be reviewed by enrolled or prospective students?	____________	yes___no___
668.44(b)	a. Does the institution comply with requests to review copies of these documents?	____________	yes___no___

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STUDENT CONSUMER INFORMATION

Reference	Question	Responsible Office	Response
668.44(a)(6)	I. Does the institution describe in its informational materials any special facilities, programs and services available to handicapped students?	____________	yes___ no___
668.42	J. Is the required financial aid and institutional information prepared for each award year and made available through appropriate publications and mailings to all currently enrolled students and, upon request, to prospective students?	____________	yes___ no___
Completion/Graduation Rate and Placement Information			
668.46(a)(1); 1996-97 FSFA Handbook, pp. 3-167 - 3-172	A. Is the institution tracking its entering certificate- and/or degree-seeking, full-time undergraduate students for the purpose of constructing its graduation (or completion) rate and its transfer-out rate?	____________	yes___ no___
668.46(a)(3)(i) 668.41(c), First-time freshman student	1. Does the institution track, in each annual cohort, only first-time freshmen, as defined in regulation?	____________	yes___ no___
668.46(a)(2)(i)	a. If the institution offers a predominant number of programs based on semesters, trimesters and quarters, does the institution's cohort include only first-time freshman students who enter the institution during the fall term?	____________	yes___ no___ n/a___
668.46(a)(4)(i)	i. Does the institution track only first time freshman students who are enrolled as of October 15, or the end of the institution's add/drop period in its fall cohort?	____________	yes___ no___ n/a___
668.46(a)(2)(ii)	b. If the institution does not offers a predominant number of programs based on semesters, trimesters and quarters, does the institution's cohort include first-time freshman students who enter the institution between every July 1 of one year and June 30 of the following year?	____________	yes___ no___ n/a___
668.46(a)(4)(ii)	i. Does the institution track first-time freshman students who have attended at least one day of class?		yes___ no___ n/a___

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Reference	**Question**	**Responsible Office**	**Response**
668.46(a)(3)(ii)	c. If the institution chooses to give information about the graduation/ completion rates of students who transfer *into* the institution, does it track those students separately?	____________	yes___no___
668.46(d)	2. Does the institution exclude from the cohort only students who: ▸ have left school to serve in the armed forces, official church missions, or a federal foreign aid service (such as Peace Corps); ▸ are deceased; ▸ are totally and permanently disabled?	____________	yes___no___
668.46(a)(5)(b), (d) 668.41(c), *Normal time;* 1996-97 FSFA Handbook, p. 3-171	3. Will the institution be able to disclose its graduation (or completion) rate and its transfer-out rate by: ▸ the January 1 following 150% of the normal time (according to the institution's catalog) for graduation (or completion) of *all* students in the cohort if 150% falls before June 30; or ▸ the second January 1 following 150% of the normal time (according to the institution's catalog) for graduation (or completion) of *all* students in the cohort if the program length is measured in months, and 150% falls after June 30? *Note: The first cohort for which these rates must be disclosed is the 1996-97 entering class. The institution must establish a new cohort for each succeeding award year; see 668.46(a)(2) and (4).*	____________	yes___no___
668.46(c)(2)	4. Does the institution count in its transfer-out rate, only students who, within 150% of the normal completion time for the program, transfer into any program of an eligible institution for which the prior program provided substantial preparation?	____________	yes___no___
668.14(b)(10)	B. If the institution advertises job placement rates to attract students, does it disclose the following information to prospective students at or before the time of application:		

Reference	Question	Responsible Office	Response
	1. The most recent available data concerning employment statistics?	____________	yes___no___ n/a___
	2. The most recent available data concerning graduation statistics?	____________	yes___no___ n/a___
	3. Relevant licensing requirements of the state in which the school is located for any job for which the institution's educational programs are designed to prepare students?	____________	yes___no___ n/a___
	4. Any other information necessary to substantiate the truthfulness of the placement rate advertisements?	____________	yes___no___ n/a___

Campus Security and Drug Abuse Prevention Information

668.47(a); DCL GEN-96-11; 1996-97 FSFA Handbook, pp. 3-161 - 3-167	A. Does the institution publish an annual security report by September 1, containing (at minimum) the following information:		
668.47(a)(1)	1. Procedures and facilities for reporting criminal actions or other emergencies occurring on campus?	____________	yes___no___
668.47(a)(1)	a. Title of each person or organization to whom students and employees should report criminal offenses?	____________	yes___no___
668.47(a)(1)	b. Institutional responses to such reports?	____________	yes___no___
668.47(a)(2)	2. Policies concerning security of and access to campus facilities (including residences) and security considerations used in the maintenance of campus facilities?	____________	yes___no___
668.47(a)(3)	3. Policies concerning campus law enforcement, including the following:		
668.47(a)(3)(i)	a. Enforcement authority of security personnel, and whether that authority includes making arrests?	____________	yes___no___
668.47(a)(3)(i)	b. Working relations of security personnel with State and local police agencies?	____________	yes___no___

Reference	Question	Responsible Office	Response
668.47(a)(3)(ii)	c. Policies encouraging accurate, prompt reporting of all crimes to campus police and appropriate police agencies?	____________	yes___no___
668.47(a)(4),(5)	4. Description and frequency of informational programs about:		
	a. Campus security procedures/practices?	____________	yes___no___
	b. Responsibility for one's own security and the security of others?	____________	yes___no___
	c. Crime prevention?	____________	yes___no___
668.47(a)(6)(i) 668.47(d)(1)(iii)	5. Statistics on the following criminal offenses that occurred on campus during the three most recent calendar years, as reported to local police agencies or to any institutional official with significant responsibilities for student and campus activities: ▸ murder; ▸ sex offenses (forcible and nonforcible); ▸ robbery; ▸ aggravated assault; ▸ burglary; and ▸ motor-vehicle theft?		
668.47(a)(1)	a. Policies for timely reporting of crimes listed above to the campus community?	____________	yes___no___
668.47(a)(6)(ii)	b. Statistics concerning the occurrence of murder, forcible rape, and aggravated assault (as listed above) which show evidence of prejudice based on race, religion, sexual orientation, or ethnicity?	____________	yes___no___
668.47(a)(7)	6. Policies concerning the monitoring of criminal activity in which students engaged at off-campus student organizations recognized by the institution, including organizations with off-campus housing facilities, and the recording of that crime through local police agencies?	____________	yes___no___
668.47(a)(8) 668.47(d)(2)(ii)	7. Statistics concerning the number of arrests for the following crimes occurring on campus during the preceding calendar year: ▸ liquor law violations;	____________	yes___no___

Reference	Question	Responsible Office	Response
	▸ drug abuse violations; and ▸ weapons possessions?		
668.47(a)(9)	8. Policies regarding the possession, use, and sale of alcoholic beverages, and the enforcement of underage drinking laws?	____________	yes___no___
668.47(a)(10)	9. Policies regarding the possession, use, and sale of illegal drugs, and the enforcement of federal and state drug laws?	____________	yes___no___
668.47(a)(11); 1996-1997 FSFA Handbook, p. 3-183	10. Descriptions of drug or alcohol abuse education programs, or a cross-reference to materials used to comply with drug-free campuses requirements?	____________	yes___no___
668.47(a)(12)	11. Policies and programs regarding the prevention of sex offenses, including:		
668.47(a)(12)(i)	a. A description of educational programs to promote awareness of rape, acquaintance rape, and other forcible and nonforcible sex offenses?	____________	yes___no___
668.47(a)(12)(ii)	b. Procedures students should follow if a sex offense occurs, including who to contact, the importance of preserving evidence, and to whom the offense should be reported?	____________	yes___no___
668.47(a)(12)(iii)	c. The student's option to notify proper law enforcement authorities, including on-campus and local police, and a statement that institutional personnel will assist the student in notifying these authorities if requested by the student?	____________	yes___no___
668.47(a)(12)(iv)	d. On- and off-campus counseling, mental health, or other student services for victims of sex offenses?	____________	yes___no___
668.47(a)(12)(v)	e. Options for changing the victim's academic and living situations after an alleged sex offense, if reasonably available, at the victim's request?	____________	yes___no___
668.47(a)(12)(vi); DCL GEN-96-11	f. Campus disciplinary procedures in cases of alleged sex offenses, including a clear statement that:	____________	yes___no___

Reference	Question	Responsible Office	Response
	▸ the accuser and accused are entitled to have others present during a disciplinary proceeding; ▸ both accuser and accused will be informed of the institution's final determination, and any sanction that is imposed against the accused; ▸ the institution's final determination and any sanction that is imposed against the accused, will be provided only to the accuser who may not disclose this information to the public?		
668.47(a)(12)(vii)	g. Sanctions the institution may impose following a disciplinary proceeding regarding sex offenses?	______________	yes___no___
668.47(d)(3)	B. Are crime statistics compiled based on FBI Uniform Crime Reporting Program definitions?	______________	yes___no___
668.47(f)	C. When compiling statistics about crime on campus, does the institution regard as part of the campus: ▸ buildings or property owned or controlled (even if owned by a third party) by the institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution's educational purposes; and ▸ buildings or property owned or controlled by a student organization recognized by the institution?	______________	yes___no___
668.47(e)	D. Does the institution report to the campus community crimes of murder, robbery, aggravated assault, burglary, car theft, and sex offences, considered to represent a threat to students and employees?	______________	yes___no___
668.47(e); DCL GEN-96-11	1. Is this report to the campus community made in a timely manner so as to aid in the prevention of similar crimes?	______________	yes___no___

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STUDENT CONSUMER INFORMATION

Reference	Question	Responsible Office	Response
DCL GEN-96-11	a. Are the only campus officials not subject to the timely reporting requirement those with significant counseling responsibilities who are providing confidential assistance to a crime victim?	______________	yes___no___
668.47(b)(1)	E. Does the institution distribute annually the security report to all current students and employees by publications provided directly to each individual or direct mailings?	______________	yes___no___
668.47(b)(2)	F. Are prospective students and employees informed of the availability of the security report, provided a summary of its contents, and given the opportunity to request a copy?	______________	yes___no___
668.47(c)	G. Does the institution comply with the annual security report requirement separately for each campus that is not reasonably contiguous with the main campus?	______________	yes___no___
86.100(a); 1996-97 FSFA Handbook, p. 3-183	H. Is the following information provided in writing annually to all students (other than continuing education students) and employees, in a way that will reach each individual, as part of the institution's drug abuse prevention program:		
86.100(a)(1)	1. Standards of conduct prohibiting unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on the school's property or as part of the school's activities?	______________	yes___no___
86.100(a)(2)	2. Legal sanctions under local, state, and federal law for unlawful possession or distribution of illicit drugs and alcohol?	______________	yes___no___
86.100(a)(3)	3. Health risks associated with drugs and alcohol?	______________	yes___no___
86.100(a)(4)	4. Descriptions of drug or alcohol counseling, treatment, rehabilitation, or re-entry programs available to students or employees?	______________	yes___no___
86.100(a)(5)	5. A clear statement that the institution will impose disciplinary sanctions on students and employees for violating standards of conduct regarding drugs and alcohol?	______________	yes___no___

Reference	Question	Responsible Office	Response
86.100(a)(6)	a. Descriptions of institutional sanctions, up to and including expulsion, termination of employment, and referral for prosecution?	______________	yes___no___
86.103(a)	I. Does the institution provide to the public, upon request, a copy of its drug prevention program materials and the results of its biennial review of its program?	______________	yes___no___
Athletic Aid Disclosures			
668.49(a)(1); HEA, sec. 485(e)(9); 1996-97 FSFA Handbook, pp. 3-175 - 3-180.	A. If the institution awards athletically-related student aid, is it compiling the following annual statistics for dissemination, beginning July 1, 1997, to potential student athletes, their parents, coaches, and guidance counselors, when an offer of athletically-related aid is extended:		
668.49(a)(1)(i)	1. The number of students who attended the institution during the prior year, categorized by race and gender?	______________	yes___no___ n/a___
668.49(a)(1)(ii)	2. The number of those students (by race and gender) who received athletically-related aid, in the following sports: basketball; football; baseball; cross country/track; and all other sports combined?	______________	yes___no___ n/a___
668.49(a)(1)(iii)	3. The completion/graduation rate and transfer-out rate of all the entering, certificate or degree-seeking full time undergraduate students?	______________	yes___no___ n/a___
668.49(a)(1)(iv)	4. The completion/graduation rate and the transfer-out rate for students, by race and gender, who received athletically-related aid in: basketball; football; baseball; cross country/ track; all other sports combined (except categories with 5 or fewer students)?	______________	yes___no___ n/a___
668.49(a)(1)(v)	5. The average completion/graduation and transfer-out rates for the four most recent completing or graduating classes (if available), by race and gender?	______________	yes___no___ n/a___

NOTE: Institutions are required to begin collecting this information beginning July 1, 1996. Not all information required to be disclosed in the annual

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ◆ are effective beginning 1997-98.

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Reference	Question		Responsible Office	Response
		report will be available on July 1, 1997.		
668.14(d)	B.	If the institution offers athletically-related aid, does the institution make available to the public the amounts of revenues derived from, and expenses made by the institution on, specified intercollegiate athletics activities?	______________	yes___no___ n/a___
668.14(d)(1)		1. Is this information complied within 6 months of the end of the institution's fiscal year?	______________	yes___no___ n/a___
668.14(d)(1)		2. Is this information independently audited at least every 3 years?	______________	yes___no___ n/a___
668.48(c)	C.	If the institution is co-educational and has an intercollegiate athletic program, does it prepare an annual report giving specified participation figures, coaching and staff information, revenue, and financial support information about its varsity teams?	______________	yes___no___ n/a___
668.48(b)(4) 668.41(e)(2)		1. Has the institution designated an annual 12-month period that will constitute its reporting year, for which the required report will be available by 10/1/96 initially and by October 15 of each successive year?	______________	yes___no___ n/a___
668.41(e)(1)(ii)		2. Does the institution inform current and prospective students of their right to request this information regarding intercollegiate athletic programs?	______________	yes___no___ n/a___
668.41(e)(1)(i) 668.41(e)(2)		3. Effective 10/1/96, does the institution provide this information promptly to any student, prospective student, or member of the public who requests it?	______________	yes___no___

Family Education Rights and Privacy Act (FERPA)

99.6(a)	A.	Does the institution have a policy regarding how it meets all of the requirements of FERPA including:		
99.6(a)(1); 99.3, eligible student, parent		1. How the institution informs eligible students and parents of their rights under FERPA?	______________	yes___no___

Reference	Question	Responsible Office	Response
99.6(a)(2)	2. How an eligible student or parent may inspect and review educational records including: ▸ the procedures the eligible student or parent must follow in order to inspect and review the records and; ▸ a description of the circumstances in which the institution believes that it has a legitimate cause to deny a request for a copy of those records; ▸ a schedule of fees to be charged for copies; and ▸ a list of the types and locations of educational records maintained by the institution, and the titles and addresses of the officials responsible for the records?	____________	yes___ no___
99.6(a)(3)	3. A statement that personally identifiable information will not be released from an educational record without the prior written consent of the eligible student or parent, except in limited situations when consent is not required?	____________	yes___ no___
99.6(a)(4)	4. A statement indicating whether the institution has a policy of disclosing information to school officials, including teachers within the institution who are determined to have a legitimate educational interest?	____________	yes___ no___
99.6(a)(5)	5. A statement that a record of disclosure will be maintained and that an eligible student or parents will have the right to inspect and review that record?	____________	yes___ no___
99.6(a)(6)	6. A statement of the types of personally identifiable information that the institution has designated as directory information?	____________	yes___ no___
99.6(a)(6)	7. A statement that the institution permits a parent or eligible student to request correction to the student's educational records and recourse that is available if the request is denied?	____________	yes___ no___

Reference	**Question**	**Responsible Office**	**Response**
99.6(b)	B. Does the institution make a copy of its FERPA policy available to all parents or eligible students upon request?	____________	yes___no___
99.7(a)	C. Does the institution annually notify parents of students currently in attendance, and eligible students currently in attendance of their rights under FERPA, including their right to:		
	1. inspect and review student's educational records;	____________	yes___no___
	2. request an amendment to student records to ensure that they are not inaccurate, misleading or otherwise in violation of the students privacy or other rights;	____________	yes___no___
	3. consent to disclosures of personally identifiable information contained in the student's educational record;	____________	yes___no___
	4. file a complaint with the U.S. Department of Education concerning alleged failure of the institution to comply with the requirements of FERPA; and	____________	yes___no___
	5. obtain a copy of the institutions's policy for meeting the requirements of FERPA?	____________	yes___no___
99.7(b)	D. As part of the annual notification, does the institution indicate where copies of its FERPA policy are maintained?	____________	yes___no___

Comments on the Provision of Student Consumer Information______________________________

IV. Recommended Good Practices

Practice **Comments**

A. Administration

1. The institution should be sensitive to the ethnic, cultural, and socio-economic diversity of the student population.

2. The institution should establish specific financial aid policies to achieve both short-term and long-range goals.

3. The institution should inform students, faculty, administrators, and any other relevant constituencies how and by whom financial aid policy is set.

4. The institution should have a financial aid committee composed of faculty, students, financial aid staff, and related administrative departments, which meets regularly. The committee can provide a forum for appeals and make recommendations on financial aid policy.

5. Each office should recognize its relationship to the institution and coordinate activities accordingly. The financial aid administrator should be involved in institutional decision-making that directly affects financial aid administration, such as student billing and tuition and fee charges.

6. The institution should provide adequate counseling to all financial aid applicants.

7. The institution should notify all scholarship and grant recipients that these funds, in excess of amounts used for payment of tuition, fees, books, supplies and equipment, are considered taxable income for U.S. income tax purposes, and that it is the student's responsibility to report this income on the tax return.

8. In addition to required federal and state reports, the financial aid director should prepare a comprehensive report for the institution, reinforcing the importance of financial aid to the institution. The report should include dollars applied for and spent, number of applications processed, number of students aided by program and institutional unit, and information collected from staff reports.

9. The financial aid office should periodically conduct studies or surveys in an attempt to develop realistic student budgets.

10. The institution should periodically conduct studies to identify and solve problems related to: awarding and disbursing student aid; justifying requests for additional funds; and minimizing attrition.

11. The institution should consider establishing a loan fund to meet the emergency needs of students.

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Practice **Comments**

12. Private corporate donors and investment markets should be researched as alternative sources of student aid funding. Fiscal officers experienced in investment markets and fund administration for gifts, endowments, and trusts, should meet regularly with financial aid and development officers to articulate the expanding financial needs of students and try to offset funding shortfalls.

13. The financial aid director and other appropriate institutional officials should evaluate and respond to Notices of Proposed Rulemaking (NPRMs) related to student assistance programs.

B. Office Management

1. The financial aid and fiscal offices should have a jointly developed and realistic schedule of deadlines for delivery of award authorizations and modifications to the fiscal office.

2. The financial aid office should have clear procedures for notifying the fiscal office when disbursement or release of funds must be withheld (e.g., student is overawarded or verification is incomplete). Likewise, a clear procedure is needed to release funds when the hold is no longer necessary.

3. A master calendar may be helpful in anticipating seasonal workloads. Supervisors and other employees with specific responsibilities that affect the flow of work should be encouraged to use planning calendars that correlate with the master calendar.

4. Regular reports (e.g., monthly) should be required of all staff. Reports should be brief, and might show major accomplishments as well as objectives for the following reporting period.

5. Charts illustrating the work flow of the office may help eliminate paperwork "bottle necks."

6. Special provisions, such as evening or weekend service, may be desirable to insure that students enrolled in only evening classes or in non-traditional programs have adequate access to financial aid information and other services.

7. Alternate means of augmenting staff should be explored if budget constraints affect office operation. Other departments (e.g., admissions, registrar's, or student services offices) may be able to supply assistance during financial aid office peak periods, when these other offices experience lighter workloads. Particular attention must be paid to orientation and training of temporary staff.

8. A cumulative financial aid record should be maintained for each student receiving assistance under any Title IV program.

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Practice **Comments**

9. The amount and significance of the student's cost of attendance as well as the expected parental contribution and/or student contribution should be clearly explained to each student.

10. Award notifications and denials should be approved and delivered to students in a timely fashion relative to the date of application.

11. Award notifications should contain: the terms and conditions of the award; information describing the type of aid awarded; instructions identifying the amount of aid awarded; detailed information regarding disbursement procedures; withdrawal and repayment consequences; satisfactory progress criteria; and student rights and responsibilities.

12. Upon written request, award adjustments should be provided to eligible students if funds are available.

13. Whenever practical, office procedures and functions should be automated, and all available avenues should be examined for needed equipment.

C. Policies and Procedures

1. The financial aid office should have a written packaging philosophy and a policies and procedures handbook. These should be readily accessible, understood, and adhered to by all personnel involved in making awards.

2. All office policies and procedures should be periodically reviewed and updated as necessary.

3. Complicated instructions and important information should be communicated in writing, filed systematically for reference, and, if appropriate, added to the office policies and procedures manual.

4. Specific policies and procedures should be established for the confidential treatment of all written records and for the security of information stored on computer databases. Security protection for confidential records should be available when the office is closed.

5. A process should be developed and formalized for the handling of exceptional or problem cases by the Financial Aid Committee or by the financial aid staff.

6. Deadlines for priority consideration of financial aid should be well-publicized and all application procedures and instructions communicated to students with sufficient time to permit completion of all necessary tasks.

7. The institution should develop policies concerning the acceptance of financial aid applications from late applicants.

BEST COPY AVAILABLE

Practice **Comments**

8. All staff members should be familiar with students' rights and responsibilities under the Family Educational Rights and Privacy Act (FERPA).

9. Office policies should specify storage time for paperwork, in order to comply with the requirements of federal and state regulations as well as institutional policies for archiving records.

10. The institution should have a method of identifying Title IV applicants who were admitted without a high school diploma or its recognized equivalent.

11. Appropriate institutional administrators, faculty, and students should be involved in the development and evaluation of the institution's satisfactory academic progress (SAP) policy. The policy should be evaluated periodically to insure its continued appropriateness.

12. Faculty advisors, counselors and other institutional personnel involved directly with students should be aware of the SAP policy. The policy should be published in appropriate institutional literature and distributed to all financial aid applicants.

13. There should be a reasonable relationship between the SAP policy and the institution's academic probation/suspension policies.

14. Student performance should be reviewed on a timely basis to provide affected students an opportunity to plan a strategy for regaining eligibility. During any probationary period, students should be encouraged to use the institution's counseling, tutoring, testing and other related services that may be able to assist them.

15. The SAP policy should take into account attendance on a less than full time basis, and should address transfer credits.

D. General Recordkeeping

1. Student records should be well-organized and stored in a systematic way to assure confidentiality of information. Student records should be separated from unrestricted files.

2. Student interviews should be documented, dated, and signed by the individual responsible for the interview.

3. Entries to student financial master records should be kept current, complete, and legible.

4. All documents in each student file should be completed and signed by all appropriate parties as required.

Practice **Comments**

5. The Financial Aid Director should approve or spot-check financial aid records and other work delegated to staff to insure consistency and compliance with all statutes, regulations, and institutional policies.

6. Forms used in financial aid administration should be reviewed and updated annually. Forms should be dated and numbered.

7. An inventory of forms and supplies should be maintained to avoid delays due to depletion of stock.

8. A form and form-letter log book should be established to keep samples of all forms and form-letters used in the office. The log should show a form number, revision date if any, and the number of documents ordered or printed on a given date, as well as the delivery date. This will provide helpful information for form control and timely ordering. It may also help to have a short description of the use of each form.

9. All staff, from director to student employees, should keep daily and weekly totals on student contact including telephone calls, intake/reception contacts, walk-in counseling, and appointments. Processing totals should also be kept for applications processed, documents tracked, verifications completed, folders prepared, and any other statistics that can be documented. These statistics are invaluable in documenting need for additional staff, space, and automation.

E. Personnel and Training

1. An organizational chart for the financial aid operation may help to clarify staff responsibilities and interaction.

2. All financial aid staff should be sufficiently trained to comply with federal regulations and other program requirements.

3. Financial aid staff salaries and benefits should be comparable to similar positions elsewhere within the institution and within the profession at comparable institutions. There should be provision for upward or lateral mobility within the institution.

4. Peer counselors and/or work-study students may be considered to assist regular staff, especially during peak workloads. If students or part-time workers are used, careful attention should be given to instructing them regarding the confidentiality of student records.

5. Each office should have written personnel policies, practices, and job descriptions. Each staff member should be performing the duties specified in the job description. Job descriptions should be reviewed annually and updated as necessary, especially when hiring new staff.

Practice **Comments**

6. Staff evaluations should be conducted at regular intervals.

7. Regular staff meetings on policy and procedure development should be held. An agenda should be prepared for each staff meeting to ensure time is productively used and all necessary information is covered.

8. Ongoing, in-service training should be provided on new regulations, counseling techniques, community resources, and changes to institutional and office policies.

9. Staff members should be involved in on-going training regarding ethical considerations within professional judgment.

10. Staff members should be trained to assist students in obtaining information and establishing eligibility for all available resources (e.g., private scholarships, BIA, veterans benefits, AFDC, Workman's Compensation, Rehabilitation benefits, unemployment benefits, student health insurance, and non-need based loans).

11. Administrators should be aggressive in searching out training opportunities. Training assistance may be available from financial aid need analysis services, professional organizations, faculty members, and community volunteers.

12. Staff members should be encouraged to participate in financial aid conferences, workshops, and other professional development activities.

13. Supervisors should be encouraged to attend workshops to strengthen their skills in such areas as motivation, providing appropriate role models, and dealing with problem employees or problem students.

14. Separate personnel files should be maintained for each employee. Files should contain: copies of appointment papers; records of all promotions and pay increases; copies of disciplinary action and all performance evaluations; records of attendance, sick leave and vacation; and any other personnel action involving the employee. Personnel files should be accessible only to the director, the employee, and other persons authorized by the director.

15. Supervisors should be familiar with Equal Employment Opportunity Code requirements and with the institution's hiring policies.

16. Supervisors should be familiar with the institution's employee grievance policies and procedures.

17. Skillful interviewing techniques should be cultivated by staff members who participate on search committees.

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Practice **Comments**

F. Space and Facilities

1. The financial aid office and other student services should be conveniently located and accessible to students with disabilities.

2. The office space and arrangement should enhance the functions of the office. Specifically, provisions should be made for privacy during student-counselor conferences to ensure confidentiality. For efficiency, the reception and general office work areas should be separate.

3. Space should be allocated for seasonal peak workloads, to allow for the addition of temporary employees as needed.

4. Whenever changes in space, facilities, or equipment are discussed, long-range plans as well as immediate needs should be considered.

G. Fiscal

1. Accounting and disbursing functions must be separated from financial aid program administration functions. According to federal regulations, the functions of awarding and disbursing federal financial aid may not be performed by the same office or members of the same family.

2. An institutional scholarship/grant/loan/job development program may prove useful in locating additional funding sources.

3. Accurate ledgers or electronic spreadsheets of all operational expenses should be kept, for analysis of spending history and forecasting and for accurate projection of future office budget needs.

4. Office furniture and equipment should be accurately inventoried by using a computer database, or file cards that will allow reports to be generated for new equipment requests and institutional inventories.

5. A system should be established for requisitioning and ordering paper, forms, supplies, and other expendable items. The system should provide analysis of past usage and projection of future needs.

6. Office directors must be familiar with office budget construction and the institution's budget process. It may be helpful to arrange for "education" sessions with the budget officer to learn as much as possible about the budget process.

RECOMMENDED GOOD PRACTICES

Practice **Comments**

H. Other Comments by Preparer or Reviewer on Institution's Practices

N·A·S·F·A·A

Self-Evaluation Guide for Institutional Participation in Title IV and Other Federal Programs

PART 2: ADMINISTRATION OF FEDERAL PROGRAMS

I. Title IV General Provisions

Prepared by______ Date______
Reviewed by______ Date______

Reference	Question	Responsible Office	Response
General Procedures			
668.14(b)(1)	A. Are federal funds used only for the purposes specified in program regulations (primarily making payments to eligible students and payment of allowable administrative expense)?	______	yes___no___
DCL GEN-93-3	B. Does the institution disburse Title IV funds (or deliver FFELP proceeds other than PLUS) only if an official EFC (calculated by ED's Central Processing System) has been received?	______	yes___no___
668.16(f)	C. Does the institution have a system for verifying the accuracy of information if inconsistencies arise from different sources with respect to a student's application for financial aid?	______	yes___no___
668.16(g)	1. Does the institution refer suspected fraud to the Department of Education's Office of Inspector General?	______	yes___no___
668.61, 682.604(h), 690.79; ● 674.14, 675.14, 676.14; ✦673.5	D. Does the institution have procedures for the collection or treatment of overawards when they occur?	______	yes___no___
668.20(d),(e)	E. Does the institution observe the one-academic-year limit on non-credit or reduced-credit remedial coursework, other than English as a Second Language (ESL) courses, for which a student can be paid Title IV funds?	______	yes___no___ n/a
668.20(c)	1. Does the institution regard as ineligible any remedial coursework if:	______	yes___no___ n/a___
	▸ it is part of a program leading to a high school diploma or its equivalent;		

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

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Reference	**Question**	**Responsible Office**	**Response**
	▸ the educational level of instruction is below the secondary level; or ▸ the educational level is below that needed to pursue successfully the institution's degree/certificate program after one year in the remedial course?		
668.9	F. For students enrolled in undergraduate credit hour programs less than two years in length and subject to the clock/credit conversion formula, are the number of credits used to determine the amount of aid based on at least 30 clock hours of instruction per semester hour or at least 20 clock hours of instruction per quarter hour?	______________	yes___no___ n/a___
668.14(b)(14)	G. Does the financial aid office have procedures to ensure that it does not deny federal aid *solely* on the grounds that a student is in a study abroad program, if the institution approves that program for credit?	______________	yes___no___ n/a___
668.2, Full-time student	H. For undergraduate students, does the institution define full-time as at least the following number of credit or clock hours:		
	1. For credit hour semester, trimester, quarter term programs: 12 semester or quarter hours per term?	______________	yes___no___ n/a___
	2. For credit hour programs not using semesters, trimesters, or quarters: 24 semester hours or 36 quarter hours per academic year (or a prorated equivalent for a program of less than one academic year)?	______________	yes___no___ n/a___
	3. For clock hour programs: 24 clock hours per week?	______________	yes___no___ n/a___
	4. For programs using combined clock and credit hours, the applicable minimum in 668.2 under the definition of *Full-time Student*?	______________	yes___no___ n/a___
	5. A series of courses or seminars equaling 12 semester or quarter hours in a maximum of 18 weeks?	______________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
	6. The work portion of a cooperative education program in which the amount of work performed is equivalent to the academic workload of a full-time student?	____________	yes___no___ n/a___
Student Eligibility			
668.32(a)(1)(i)	A. Does the institution ensure that each recipient of federal student aid funds is a regular student, enrolled or accepted for enrollment in an eligible program?	____________	yes___no___
668.32(a)(1)(ii)	1. For FFEL or Direct Loans, if not a regular student in an eligible program, is the student enrolled in a course of study necessary for enrollment in an eligible program?	____________	yes___no___
668.32(a)(1)(ii)	a. Is this status funded for no longer than a 12-month period?	____________	yes___no___
668.32(a)(1)(iii)	2. For Federal Perkins Loans, FWS, FFEL, and Direct Loans, if not a regular student in an eligible program, is the student enrolled or accepted for enrollment *at least half-time* in a program necessary for teaching certification from a state?	____________	yes___no___
668.32(b)	B. Does the institution ensure that Title IV recipients are not enrolled in either an elementary or a secondary school?	____________	yes___no___
668.32(e)	C. Does the institution ensure that Title IV recipients have a high school diploma, its equivalent, or the ability to benefit from the education or training offered?	____________	yes___no___
668.32(e) 668.151; ●1996-97 FSFA Handbook, pp. 2-11 - 2-19; FR, 10/25/96, p. 55542	1. If the institution does not participate in an ED-approved state process, does it ensure that Title IV recipients admitted without a high school diploma or its recognized equivalent have a passing score on an ED-approved test? *NOTE: On 10/25/96, the Department of Education published a list of approved ATB test which must be used beginning on 12/26/96. As of that date, the list published in the 1996-97 SFA handbook is no longer valid.*	____________	yes___no___ n/a___

Reference	**Question**	**Responsible Office**	**Response**
668.32(e)(2)	a. Does the institution ensure that the student received a passing score on the test within 12 months before the date federal financial aid is initially received?	______	yes___no___ n/a___
668.151, 668.152 668.142, Assessment Center 668.155	b. Is the test independently administered by either a certified test administrator or an assessment center as defined in regulation?	______	yes___no___ n/a__
668.33(a)	D. Does the institution ensure that only U.S. citizens or eligible non-citizens receive Title IV funds?	______	yes___no___
668.33(c)	1. If the Social Security Administration database match does not confirm a student's claim of U.S. citizenship, does the institution require the student to document U.S. citizenship?	______	yes___no___
668.33(c)(2)	a. Does the institution give the student at least 30 days notice to provide documentation of U.S. citizenship?	______	yes___no___
668.133(a)(1)	2. If, for an eligible non-citizen for whom documentation is required, the INS database match does not result in primary confirmation, or if the institution has conflicting information, is secondary confirmation employed?	______	yes___no___
668.134	a. Does the institution have policies and procedures for requesting proof and securing confirmation of a student's immigration status, which includes providing the student with: ▸ deadlines for submitting documentation; and ▸ consequences for not meeting the deadline?	______	yes___no___
668.134(a)(3) 668.137(a)	b. Does the institution give the student at least 30 days from the date it receives the student's output document to provide documentation of eligible non-	______	yes___no___

Reference	Question	Responsible Office	Response
	citizen status, before determining that the student is ineligible?		
668.137(b)	i. Are students who fail to provide documentation by the specified deadline denied Title IV assistance for the award year?	______________	yes___no___
668.135	c. Does the institution submit a copy of the student's INS documentation for secondary confirmation within 10 business days of receiving it?	______________	yes___no___
668.136(b)	d. If the INS does not respond to the institution's request for secondary confirmation within 15 business days, does the institution make its own determination of eligibility?	______________	yes___no___
668.139	i. Does the institution attempt to recover funds disbursed to students subsequently found to be ineligible?	______________	yes___no___
668.133(b)(1)(ii)	e. Does the institution exclude from secondary confirmation a student who completed it the previous year only if the documents used for confirmation have not expired?	______________	yes___no___
668.33(b)	3. Does the institution restrict Title IV aid for eligible citizens of the Federated States of Micronesia, the Marshall Islands, and Palau to Federal Pell Grant, FSEOG, and FWS?	______________	yes___no___ n/a___
668.32(i)	a. Does each Title IV recipient have a correct Social Security Number (SSN), except for residents of Palau, the Marshall Islands, or the Federated States of Micronesia?	______________	yes___no___
668.36(a)(3)	i. If a student's SAR or ISIR does not indicate the SSN was verified, or the institution has reason to believe a verified number is inaccurate, does the institution require the student to submit evidence of an accurate SSN within	______________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	at least 30 days or until the end of the award year, whichever is later?		
668.36(a)(4)	4. Does the institution ensure that it does not deny, reduce, delay, or end a student's eligibility because verification of the student's SSN is pending?	____________	yes___no___
668.36(b)(2)	5. Does the institution ensure that an incorrectly reported SSN is corrected?	____________	yes___no___
668.32(h); DCL GEN-95-54	E. Has each Title IV recipient filed a Statement of Educational Purpose as part of the FAFSA or with the lender in the case of FFEL only?	____________	yes___no___
668.32(j) 668.37	F. Has the institution determined each Title IV recipient's registration status with the Selective Service, by obtaining: ▸ an output document confirming the student's registration; or ▸ clear and unambiguous evidence that the student is not required to be registered; or ▸ other proof that the student is registered; or ▸ evidence that the student's failure to register does not make him ineligible for Title IV aid?	____________	yes___no___
668.37(c)(2)	1. If the SAR or ISIR does not confirm a student's Selective Service registration, does the institution require the student to provide appropriate documentation within at least 30 days or until the end of the award year, whichever is later?	____________	yes___no___
668.32(g)(2)	G. Does the institution ensure that Title IV recipients have not borrowed in excess of annual or aggregate Title IV loan limits?	____________	yes___no___
DCL 96-14	1. Did the institution certify Unsubsidized Stafford and Direct Unsubsidized Stafford loans in excess of annual maximums only for HEAL eligible students who were unable to borrow under that program due to budgetary restrictions?	____________	yes___no___ n/a___
668.35(b)	2. Is a student who inadvertently borrowed in excess of loan limits considered eligible	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	upon repayment of the excess amount, or upon making satisfactory repayment arrangements?		
668.32(g)(4)	H. If a student owes an overpayment on a Title IV grant or Federal Perkins Loan, does the institution deny Title IV assistance?	____________	yes___no___
668.35(e)	1. Does the institution consider the student eligible if the overpayment is: ▸ Federal Pell Grant, and can be eliminated by adjusting subsequent Pell payments in the same award year; or ▸ FSEOG, SSIG, or Perkins Loan, and can be eliminated by adjusting subsequent Title IV aid (other than Federal Pell Grant) in the same award year?	____________	yes___no___
668.35(c)	2. Does the institution consider the student eligible if he/she: ▸ pays an overpayment in full; or ▸ makes payment arrangements satisfactory to the holder of the overpayment?	____________	yes___no___
668.32(g)(1)	I. Does the institution deny Title IV aid to a student who is in default on a Title IV loan?	____________	yes___no___
668.35(a)	1. Is a student in default considered eligible for Title IV aid if: ▸ the student makes satisfactory arrangements with the holder to repay the loan and makes at least six consecutive monthly payments; or ▸ the student repays the loan in full?	____________	yes___no___
668.35(f); DCL GEN-95-40	J. Does the institution consider a student whose defaulted loan or Title IV overpayment was discharged or is dischargeable in bankruptcy to be eligible for Title IV assistance?	____________	yes___no___

GENERAL PROVISIONS

Reference	**Question**	**Responsible Office**	**Response**
668.32(f) 690.75(c),(d)	K. Does the institution determine whether each Title IV recipient is maintaining satisfactory academic progress?	____________	yes___no___
668.16(e)(2)(i)	1. Does the policy include a qualitative measure such as grades, work projects completed, or other comparable factors?	____________	yes___no___
668.16(e)(2)(ii)	2. Does the policy include as a quantitative component a maximum time frame in which a student must complete his or her educational program?	____________	yes___no___
668.16(e)(2)(ii)(A)	a. For an undergraduate program, is the maximum time frame no longer than 150% of the published length of the educational program?	____________	yes___no___
668.16(e)(2)(ii)(B)	3. Is the timeframe divided into increments no longer than one academic year or one-half of the program, whichever is less?	____________	yes___no___
668.16(e)(2)(ii)(C)	4. Does the institution designate the minimum amount of work that a student must successfully complete at the end of each increment to complete the program within the maximum timeframe?	____________	yes___no___
668.16(e)(1)	5. Is the policy for Title IV recipients the same as or stricter than that for non-recipients?	____________	yes___no___
668.16(e)(4)	6. Does the institution review each student's progress at the end of each increment?	____________	yes___no___
668.16(e)(2)(ii)(D)	7. Do the institution's policies define the effect of course incompletes, withdrawals, repetitions, and noncredit remedial courses on satisfactory progress?	____________	yes___no___
668.16(e)(5)	8. Has the institution established a specific appeal process?	____________	yes___no___
668.16(e)(6)	9. If a student is denied aid due to lack of satisfactory academic progress, does the policy specify what a student must do to be reinstated?	____________	yes___no___

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Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
1995-96 FSFA Handbook, p. 2-27	a. If a student regains eligibility, is Title IV aid given only for the payment period in which eligibility is regained, and not for periods in which the student did not meet the satisfactory progress standards?	____________	yes___no___
668.34(a),(b),(e)	10. Does the institution review progress at the end of each academic year, and require the equivalent of a "C" average or academic standing consistent with institutional graduation requirements by the end of the second academic year, for all Title IV recipients enrolled in any program longer than two academic years?	____________	yes___no___ n/a___
668.34(c)	a. Is this requirement waived only if failure to meet it is due to the student's injury or illness, death of a relative, or other special circumstances?	____________	yes___no___
668.34(d)	b. Is eligibility reinstated once the student obtains academic standing consistent with graduation requirements?	____________	yes___no___
●DCL GEN 96-10 ✦DCL GEN 96-18	11. Does the institution determine whether satisfactory progress requirements should be waived for students who were unable to meet the institution's standards due to specified natural disasters?	____________	yes___no___ n/a___
668.32(g)(3) 668.35(d)	L. Are students whose property is subject to a judgment lien for a federal debt considered ineligible for Title IV aid unless the student has paid the debt in full or made satisfactory payment arrangements?	____________	yes___no___
668.38(a)	M. Are correspondence students awarded Title IV aid only if the correspondence courses are part of an associate, bachelor's, or graduate degree program?	____________	yes___no___ n/a___
668.38(b)	1. Does the institution consider students enrolled in telecommunications courses to be correspondence students unless: ▸ the total number of correspondence and telecommunications courses provided by the institution is fewer than 50% of	____________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
	the courses provided in the award year; and ▸ the student's program leads to an associate, bachelor's, or graduate degree?		
Appendix B to ED's annual *Guide to SARs and ISIRs*	N. Are all SAR/ISIR comments indicating a problem or potential problem with student eligibility resolved?	______	yes___no___
668.19(a)(1); 1996-97 FSFA Handbook, p. 3-65	O. Does the institution determine whether a student has attended another eligible institution, and inform the financial aid office of that fact?	______	yes___no___
668.19(a)(2)(i) 668.19(a)(5)(ii); DCL-96-13	1. Before disbursing any Title IV funds to a transfer student, does the institution obtain a financial aid history by : ▸ requesting a financial aid transcript (FAT)from each previous institution, except foreign schools or; ▸ obtaining information from the National Student Loan Data System (NSLDS) ?	______	yes___no___
DCL-96-13	a. Does the institution limit the use of the NSLDS for collection of financial aid histories for students who transferred at mid-year to: ▸ queries made at least 60 days after a student ceases attending the prior school; or ▸ queries made for students who attended the prior school before the beginning of that school's academic year (i.e. summer attendees)?	______	yes___no___
668.19(a)(3)(i),(ii)	b. If the institution collects FATs and allows disbursement of Federal Pell Grant and campus-based funds before FATs are received, does it limit disbursement to one payment period only?	______	yes___no___
1996-97 FSFA Handbook, p. 3-65	i. Once FATs are received, does the institution make any necessary adjustments to the student's awards?	______	yes___no___

Reference	Question	Responsible Office	Response
1996-97 FSFA Handbook, p. 3-68	ii. Does the institution attempt to collect disbursed funds from the student if the FAT: ▸ is not received, or ▸ shows the student is ineligible?	____________	yes___no___
668.19(a)(3)(iii),(v), (vi)	c. If the institution certifies Federal Stafford Loan or Federal PLUS applications before receiving FATs, does it hold the loan proceeds until it receives the FATs?	____________	yes___no___
668.19(a)(3)(iv), (v),(vi)	d. If the institution chooses to originate a Direct Stafford or Direct PLUS Loan prior to receiving FATs, does the institution withhold disbursement until the FATs have been received?	____________	yes___no___
668.19(a)(4)(i)	e. Does the institution return FFELP proceeds after 45 days if financial aid transcripts are not received?	____________	yes___no___
668.19(a)(4)(ii)	f. If, once received, the FAT shows that a student is not eligible for FFELP proceeds being held, does the institution return any ineligible portion to the lender?	____________	yes___no___
674.9(c), 675.9(c), 676.9(c), 690.75, 682.201(a)(2)(i), 685.200(a)(2)(i)	P. Does the institution ensure that Federal Pell Grant, FSEOG, Federal Perkins Loans, FWS, and subsidized Federal Stafford or Direct Loans are awarded only to students who demonstrate financial need under the Federal Methodology?	____________	yes___no___
674.9(c) 675.9(c) 676.9(c) 682.301(a)(2) 685.200(a)(2)(ii) 690.75(e)	1. Is a member of a religious order (as specified in regulation) considered to have no financial need, and therefore no eligibility for Title IV aid other than unsubsidized loans, if the order provides subsistence support or has directed the member to pursue the course of study?	____________	yes___no___
HEA Sec. 472; 1996-97 FSFA Handbook, p. 2-53	Q. Does the institution construct student cost of attendance (COA) budgets in accordance with statute?	____________	yes___no___
HEA, Sec. 472(7);	1. For a student enrolled in a study abroad program approved for credit by the home		

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Reference	Question	Responsible Office	Response
1996-97 FSFA Handbook, p. 2-55	institution, does the COA include reasonable associated costs?		
HEA, Sec. 472(8); 1996-97 FSFA Handbook, p. 2-55	2. For a student with dependents, does the COA include a dependent care allowance that:		
	a. Covers periods including, but not limited to, class-time, study-time, field work, internships and commuting time?	____________	yes___no___
	b. Is based on the number and age of dependents?	____________	yes___no___
	c. Is limited to the reasonable cost in the student's community for the kind of care provided?	____________	yes___no___
HEA Sec. 472(9); 1996-97 FSFA Handbook, p. 2-55	3. For a student with a disability, does the COA include an allowance for expenses related to the disability that are reasonably incurred and not provided for by other assisting agencies?	____________	yes___no___
HEA Sec. 472(12); 1996-97 FSFA Handbook, p. 2-55	4. For a student receiving FFELP or Direct Loans, does the COA include actual loan fees or average loan fees at the institution for the type of loan received?	____________	yes___no___
1996-97 FSFA Handbook, p. 2-55	a. Is the institution aware that it may also include fees for non-federal student loans used to cover the cost of attendance at the institution?	____________	yes___no___
HEA Sec. 479(11); 1996-97 FSFA Handbook, p. 2-55	5. For a student in a cooperative education program, does the COA include reasonable costs associated with the work experience?	____________	yes___no___
HEA Sec. 472(4); 1996-97 FSFA Handbook, p. 2-55; DCL GEN-89-49	6. For a student enrolled less than half-time, is the COA limited to tuition, fees, books, supplies, transportation, dependent care costs, and, under professional judgment, a disability allowance?	____________	yes___no___
1996-97 FSFA Handbook, p. 1-13	R. Are professional judgment adjustments to dependency status or cost of attendance, or to data items used to calculate the student's EFC, made on a case-by-case basis and clearly documented in the student's file?	____________	yes___no___

Reference	Question	Responsible Office	Response
Verification			
668.54(a)(2)(i)	A. Does the institution have procedures to identify applicants selected for verification by the Central Processing System (CPS)?	____________	yes___ no___
668.54(a)(2)	1. Does the institution verify all CPS-selected applicants unless it chooses to exercise the optional limit of 30% of the institution's total Title IV aid applicants?	____________	yes___ no___
1996-97 Verification Guide, pp. 6-7	a. If the institution exercises the 30% option, has it developed:		
	▸ a consistently-applied definition of "applicant";	____________	yes___ no___ n/a___
	▸ a method to determine the number of *CPS-selected* applicants that constitutes 30%;	____________	yes___ no___ n/a___
	▸ a method to ensure that the number of verifications required to reach 30% is *completed*; and	____________	yes___ no___ n/a___
	▸ a method to ensure that no application containing conflicting information goes unverified even once the 30% limit is reached?	____________	yes___ no___ n/a___
668.54(a)(3)	B. Does the institution require applicants not selected by the CPS to verify information that the institution has reason to believe is inaccurate?	____________	yes___ no___
668.54(b)(2); 1996-97 Verification Guide, pp. 7-9	C. Does the institution exclude from verification the following applicants *only if* the institution has no conflicting information:		
668.54(b)(2)(i)(A)	▸ legal resident (both student and parents if the student is dependent) of the Northern Mariana Islands, Guam, or American Samoa;	____________	yes___ no___
668.54(b)(2)(i)(B)	▸ citizen (both student and parents if the student is dependent) of the Marshall Islands, Federated States of Micronesia, or Palau;	____________	yes___ no___

Reference	**Question**	**Responsible Office**	**Response**
668.54(b)(2)(iv)	▸ immigrant who arrived in the U.S. during either calendar year of the award year;	____________	yes___no___
668.54(b)(2)(ii)	▸ applicant who is incarcerated at the time of verification; and	____________	yes___no___
668.54(b)(2)(vii)	▸ applicant who receives no aid, for reasons other than his or her failure to complete verification?	____________	yes___no___
668.54(b)(2),(3); 1997-98 Verification Guide, pp. 7-9	D. Does the institution exclude the following application data from verification *only if* the institution has no conflicting information:		
668.54(b)(2)(iii) 668.54(b)(3)(iii)	▸ information of a parent (or spouse) who resides outside the U.S. and cannot be contacted by normal communications;	____________	yes___no___
668.54(b)(2)(v) 668.54(b)(3)(iv)	▸ information of a parent (or spouse's) whose address is unknown and cannot be obtained by the applicant; and	____________	yes___no___
668.54(b)(2)(vi) 668.54(b)(3)(i),(ii)	▸ information of a parent (or spouse) who is physically or mentally incapacitated, or deceased?	____________	yes___no___
668.54(b)(2)(viii)	E. If it chooses to exclude from verification a transfer student who was verified for the same award year, using the same application, by the prior institution, does the institution obtain a letter from the prior institution that:		
	▸ states the application was verified;	____________	yes___no___ n/a___
	▸ gives the transaction number of the verified application; and	____________	yes___no___ n/a___
	▸ gives the provision used, if any, for not recalculating the applicant's EFC?	____________	yes___no___ n/a___
668.54(b)(1)	F. Does the institution exclude from verification an applicant who died during the award year?	____________	yes___no___
668.60(e)	1. Do the institution's procedures allow disbursements made prior to the student's death to stand, but ensure that no further disbursements are made?	____________	yes___no___

Reference	Question	Responsible Office	Response
668.53(a)	G. Does the institution have written policies and procedures for verifying information contained in selected applications, including, at a minimum:	____________	yes___no___
668.53(a)(1)	1. Time frames within which applicants must submit verification documents?	____________	yes___no___
	a. Is the time frame consistent with other requirements (e.g., 45-day limit on holding FFEL checks; 60-day limit on interim FWS employment prior to completion of verification)?	____________	yes___no___
668.53(a)(2)	2. Consequences of an applicant's failure to provide requested information within the specified time frame?	____________	yes___no___
668.53(a)(3)	3. Procedures to notify applicants of verification results if a consequent change in the applicant's EFC results in a change in the applicant's award or loan?	____________	yes___no___
668.53(a)(4)	4. Procedures an applicant must follow to correct erroneous information?	____________	yes___no___
668.53(a)(5)	5. Procedures for referring suspected fraud?	____________	yes___no___
668.53(b)	6. Procedures for providing selected applicants a clear and timely explanation of their responsibilities, including required verification documentation, deadlines, and consequences of failing to complete any required action?	____________	yes___no___
668.61(a),(b)	7. Does the institution have procedures governing any overpayments resulting from verification for which the student is responsible?	____________	yes___no___
668.56 668.57	H. Does the institution ensure that for each selected application, all applicable items are verified, using acceptable documentation?	____________	yes___no___
668.57	1. Does the institution have a procedure for determining when alternate forms of documentation, as specified in regulation, may be used?	____________	yes___no___

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Reference	Question	Responsible Office	Response
668.54(a)(4) 668.55(a)(2)	I. Does the institution verify all previously unverified information on all subsequent applications of selected applicants within an award year?	____________	yes___no___
668.55(a)(1)(I) 668.55(b)	J. Does the institution require household size and number in college to be updated at verification, for selected applicants?	____________	yes___no___
668.55(a)(3)	1. Are updates resulting from a change in the applicant's marital status prohibited?	____________	yes___no___
668.55(a)(1)(ii) 668.55(d)(1)	K. Do the institution's procedures ensure that all applicants, whether selected for verification or not, update dependency status throughout the award year?	____________	yes___no___
668.55(a)(3)	1. Are updates resulting from a change in marital status prohibited?	____________	yes___no___
1996-97 Verification Guide, p. 44	2. Are updates to household size and number in college for non-selected applicants prohibited?	____________	yes___no___
668.55(c)(2); 1996-97 Verification Guide, p. 46	L. If the EFC changes as a result of updating, are aid amounts adjusted to avoid overawards?	____________	yes___no___
668.55(c)(1)	1. Even if no adjustment is needed to avoid overawards, does the institution use the recalculated EFC for any new awards?	____________	yes___no___
668.58(a)(1)	M. Does the institution withhold disbursement of all Title IV funds and Federal Stafford Loan certification whenever it has reason to believe that application information is inaccurate?	____________	yes___no___
668.58(a)(2)	N. If the institution exercises an interim payment or loan certification option, does it have procedures to ensure that interim payments occur only if there is no conflicting information about application data?	____________	yes___no___ n/a___
668.58(a)(2)(ii)(A)	1. Are interim disbursements of Federal Pell Grant, Federal Perkins Loan, or FSEOG funds limited to the first payment period?	____________	yes___no___ n/a___

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Reference	Question	Responsible Office	Response
668.58(b) 668.61(a)	a. Does the institution assume liability for any overpayment resulting from interim disbursements that are not recovered from the student?	______________	yes___no___ n/a___
668.61(a)(2)(ii)	i. Is restitution made by the earlier of the end of the award year or 60 days after the applicant's last day of attendance?	______________	yes___no___
668.58(a)(2)(ii)(B)	2. Is interim employment under FWS limited to 60 days?	______________	yes___no___ n/a___
668.58(a)(2)(iii)(B)	3. Is a procedure in place to hold Federal Stafford or Direct Loan proceeds until verification is complete?	______________	yes___no___ n/a
668.58(c)	a. Are proceeds returned to the lender or servicer if verification remains incomplete within 45 days after receipt?	______________	yes___no___ n/a__
668.58(d)(2) 668.61(b)	b. If, upon verification, the applicant is not eligible for all of the proceeds, does the institution return the excess?	______________	yes___no___ n/a___
668.58(d)(1) 668.61(b)	c. If, upon verification, the applicant is eligible for less than the full amount of Federal Stafford certified or Federal Direct Loan originated, does the institution notify the lender to adjust subsequent disbursements?	______________	yes___no___
668.59(c)	O. If the applicant's EFC changes as a result of verification does the institution adjust aid to avoid overawards?	______________	yes___no___
668.59(a); 1996-97 Verification Guide, pp. 42-43	P. For Federal Pell Grant applicants, does the institution require reprocessing of corrected data when errors are outside the allowable tolerance or when recalculation shows that awards would decrease?	______________	yes___no___
668.59(b)(2)(ii)(A)	Q. Does the institution pay a student's Federal Pell Grant award based on the original EFC if verification shows increased eligibility but the corrected applicant data are not reprocessed?	______________	yes___no___

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Reference	Question	Responsible Office	Response
668.59(b)	1. If the institution wishes to pay an increased Federal Pell Grant award, does it require reprocessing?	______	yes___no___
668.60(c)(1)	R. If a reprocessed SAR or ISIR is received during the 60-day extension, does the institution pay the lower of the original or reprocessed award?	______	yes___no___
1996-97 *Verification Guide*, pp. 38-39	S. Does the institution indicate the proper status code when submitting Federal Pell Grant payment data?	______	yes___no___
668.59(e)	T. Does the institution refer to ED applicants who received funds based on information suspected of being inaccurate when efforts to resolve the possible discrepancy have failed?	______	yes___no___
DCL GEN-96-18 DCL GEN-96-10 DCL GEN-95-49 DCL GEN-95-36	U. Is the institution familiar with allowable modifications of the verification provisions for victims of specified recent natural disasters?	______	yes___no___

Refunds and Repayments

Reference	Question	Responsible Office	Response
668.22(a)(1)	A. If a student withdraws, drops out, or is expelled on or after the first day of classes, does the institution have a fair and equitable refund policy under which it refunds unearned institutional charges to the Title IV recipient (including students whose parents received a PLUS loan on their behalf)?	______	yes___no___
668.22(j)(1)(i)	B. Does the institution use as the student's withdrawal date the earlier of: • the date the student notifies the institution of the student's withdrawal or the date of withdrawal as specified by the student, whichever is later; or • the last recorded date of class attendance if the student drops out without notifying the institution?	______	yes___no___
668.22(j)(1)(i)	1. Does the institution document the last recorded date of class attendance?	______	yes___no___

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Reference	Question	Responsible Office	Response
668.22(j)(1)(ii)	C. Does the institution use as the student's withdrawal date the last recorded date of the student's class attendance for students who: ▸ do not return from an approved leave of absence; or ▸ take a leave of absence that does not meet regulatory criteria?	____________	yes___no___
668.22(j)(1)(ii)	1. Does the institution document the last recorded date of class attendance?	____________	yes___no___
668.22(j)(3)	D. Does the institution determine a student's unofficial withdrawal date within 30 days after the earlier of the expiration of: ▸ the period of enrollment for which the student has been charged; ▸ the academic year in which the student withdrew; or ▸ the educational program from which the student withdrew?	____________	yes___no___
668.22(j)(1)(iii)	E. For students enrolled in educational programs that consist predominantly of correspondence courses, does the institution use as the student's withdrawal date the date that the last lesson was submitted by the student?	____________	yes___no___
668.22(j)(1)(iii)	1. If the institution restores to "in school" status students who (within 60 days of the date the last lesson was submitted) request to continue in the program, does the institution ensure that no more than one restoration to "in school" status is granted to a student on this basis?	____________	yes___no___
668.22(a)(2)	F. If the student does not follow the institution's published procedures for obtaining a refund, does the institution nonetheless return the portion of the refund allocable to the Title IV programs?	____________	yes___no___
668.22(g)(3)(iii)	G. For Title IV loan recipients, does the institution exercise the option of not paying refunds of $25 or less only for students who authorized the institution, in the enrollment agreement, to retain any refund amount that	____________	yes___no___ n/a___

Reference	**Question**	**Responsible Office**	**Response**
	would otherwise have been allocated to the Title IV loan programs?		
668.22(b)(1); 1996-97 FSFA Handbook, pp. 3-78 - 3-80	H. For Title IV recipients, does the institution refund an amount that is at least the largest of the amount provided under:	____________	yes___no___
	▸ the requirements of state law or legally enforceable regulations promulgated by a state agency, if applicable;		
	▸ the standards of the institution's nationally recognized accrediting agency, if approved by ED; or		
	▸ the pro rata refund calculation, when applicable?		
668.22(b)(1)(iii)	1. Does the institution calculate a pro rata refund for all first-time students [as defined in 668.22(c)(7)] who withdraw on or before the 60% point in time [as defined in 668.22(b)(2)] in the period of enrollment for which the student has been charged [as defined in 668.22(e)]?	____________	yes___no___
668.22(c)(1)	2. For pro rata refunds, does the institution calculate the refund by applying to institutional charges a percentage equal to the percentage of the enrollment period for which the student has been charged *that remains* on the student's withdrawal date, rounded down to the nearest 10%?	____________	yes___no___
668.22(c)(8)(i)	a. For programs measured in credit hours: does the institution calculate the percentage that remains by dividing the number of weeks in the period of enrollment for which the student was charged into the number of weeks remaining in that period as of the withdrawal date?	____________	yes___no___ n/a___
668.22(c)(8)(ii)	b. For programs measured in clock hours: does the institution calculate the percentage by dividing the number of clock hours in the period of	____________	yes___no___ n/a___

Reference	**Question**	**Responsible Office**	**Response**
	enrollment for which the student was charged into the number of scheduled clock hours remaining to be completed in that period as of the student's withdrawal date?		
668.22(c)(8)(iii)	c. For programs consisting predominantly of correspondence courses: does the institution calculate the percentage by dividing the number of lessons comprising the period of enrollment for which the student was charged into the number of lessons not submitted?	______________	yes___no___ n/a___
668.22(b)(1)(iv); 1996-97 FSFA Handbook, pp. 3-78 - 3-80	I. When the student is not subject to the pro rata refund calculation, and no state or ED-approved accrediting agency standards exist, does the institution calculate and provide for a refund to the student that is at least the larger of the amount provided under: ▸ the Federal refund calculation; or ▸ the institution's refund policy?	______________	yes___no___ n/a___
668.22(b)(3)	J. Does the institution have a method for determining which refund policy or policies apply to a particular student who withdraws from school, and which provides the largest refund for that student?	______________	yes___no___
668.22(c)(3) 668.22(g)(2)(iii); 1996-97 FSFA Handbook, p. 3-87	K. Does the institution compute the unpaid amount of a student's scheduled cash payment by subtracting the amount paid by the student for the period of enrollment for which the student was charged from the student's scheduled cash payment?	______________	yes___no___
668.22(c)(2)(i) 668.22(g)(2)(ii)	1. If the institution chooses to make late disbursements, is the scheduled cash payment reduced by anticipated late disbursements of Title IV or state aid?	______________	yes___no___
668.22(c)(2)(iii) 668.22(g)(2)(ii)	a. If the late disbursement of state aid is not made with 60 days after the student's withdrawal date, does the institution recalculate the student's refund amount, adjusting the unpaid charges to exclude late state aid, and	______________	yes___no___

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Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ◆ are effective beginning 1997-98.

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Reference	Question	Responsible Office	Response
	return any additional refund amount due as a result of the recalculation?		
668.22(c)(1)	2. For students subject to the pro rata refund calculation, does the institution subtract from the calculated pro rata refund amount the unpaid amount of the student's scheduled cash payment?	____________	yes___no___
668.22(b)(4) 668.22(g)(2)(iii)	3. For all refund calculations other than pro rata and state policies, does the institution subtract the unpaid amount of the student's scheduled cash payment from the amount of institutional charges the institution has calculated it may retain?	____________	yes___no___
668.22(g)(2)(iv)	L. For non-pro rata refunds, if the unpaid portion of the scheduled cash payment is greater than or equal to the amount the institution has calculated it may retain, does the institution return all Title IV program funds (other than FWS) used to pay institutional charges?	____________	yes___no___
668.22(a)(3)	M. For pro rata and Federal refund calculations, if the institution excludes the cost of equipment that is unreturnable or is not returned in good condition, can the institution substantiate that the costs for these items are reasonably related to the cost of providing them to the student?	____________	yes___no___
668.22(d)(2)	N. If the institution excludes an administrative fee from the institutional charges used to calculate pro rata and Federal refunds, is the amount of that fee the lesser of $100 or 5% of tuition, fees, room and board, and other institutional charges assessed the student?	____________	yes___no___
668.22(c)(5)(ii) 668.22(d)(3)(ii)	O. Before excluding the cost to the institution of returnable equipment from the calculation of pro rata or Federal refunds, does the institution allow a student at least 20 days from the withdrawal date to return the equipment?	____________	yes___no___
668.22(c)(5)(ii) 668.22(d)(3)(ii)	1. Does the institution exclude only equipment that it identified to the student (in writing prior to the student's enrollment) as returnable within 20 days, and that the student did not return in reasonably good condition?	____________	yes___no___

GENERAL PROVISIONS

Reference	Question	Responsible Office	Response
668.22(c)(5)(iii) 668.22(d)(3)(iii)	2. Does the institution ensure that it does not delay the return of the refund amount to the appropriate program account or accounts, the lender, and/or the individual within the specified time frames, regardless of when a student returns equipment?	____________	yes___no___
668.22(c)(6)(i) 668.22(d)(4)(i)	P. Does the institution exclude room charges from the calculation of pro rata and Federal refunds only if the charges are "passed through" the institution to an entity that is not under the control of, related to, or affiliated with the institution?	____________	yes___no___
668.22(c)(6)(ii) 668.22(d)(4)(ii)	Q. Does the institution exclude from pro rata and Federal refund calculations any fees for group health insurance only if this insurance is required for all students and the coverage remains in effect throughout the period for which the student was charged?	____________	yes___no___
668.22(g)(1)(i)	R. If a student who received Title IV assistance, other than FWS, is owed a refund of institutional charges, does the institution ensure that a portion of the refund is returned to the Title IV programs?	____________	yes___no___
668.22(h)(1),(2)	1. Does the institution allocate the Title IV portion to the programs in the order specified by regulation in all cases?	____________	yes___no___
668.22(g)(1)(ii)	2. Does the institution ensure that no program is refunded more than the amount that the student received from that program?	____________	yes___no___
668.22(h)(2)(i)	3. Does the institution ensure that no portion of a refund is allocated to FWS?	____________	yes___no___
668.22(h)(2)(iii) 682.607(c)(1)	S. Does the institution return to the lender any refund allocated to the Federal Stafford or Federal PLUS loan programs within 60 days of the date the student officially withdraws, is expelled, or the institution determines that the student has unofficially withdrawn?	____________	yes___no___
682.607(c)(2)	1. If the student does not return at the expiration of an approved leave of	____________	yes___no___

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Reference	Question	Responsible Office	Response
	absence, does the institution return to the lender any refund allocated to the Federal Stafford or Federal PLUS loan programs within 30 days of the earlier of: ▸ the date the leave expires; or ▸ the date the student notifies the institution that the student will not return at the expiration of the leave.		
682.607(a)(2)	a. When FFEL funds are returned to the lender as part of the refund process, does the institution simultaneously send the borrower written notification that the refund was sent to the lender?	____________	yes___no___
668.22(h)(2)(iv)	T. Does the institution return the portion of the student's refund allocated to the Federal Pell Grant, FSEOG, Federal Perkins, and/or Direct Loan programs to the appropriate program account within 30 days of the date that the student officially withdraws, is expelled, or the institution determines that the student has unofficially withdrawn?	____________	yes___no___
685.306(a)(2)	1. If Direct Loan funds are returned as part of the refund process, does the institution simultaneously send the borrower written notification that it has refunded loan proceeds to the program account?	____________	yes___no___
668.22(j)(4)(i)	U. If the student officially withdrew or was expelled, does the institution refund any amount due the student directly within 30 days of the student's withdrawal date?	____________	yes___no___
668.22(j)(4)(ii)	V. If the student unofficially withdrew (dropped out), does the institution refund any amount due the student directly within 30 days of the earliest of: ▸ the date on which the institution determines that the student dropped out; ▸ the expiration of the academic term in which the student withdrew; or ▸ the expiration of the period of enrollment for which the student was charged?	____________	yes___no___

Reference	Question	Responsible Office	Response
668.22(j)(4)(iii)	W. If a student does not return to the institution at the expiration of an approved leave of absence, does the institution refund any amount due the student directly within 30 days of the earlier of: ▸ the date the leave of absence expires; or ▸ the date the student notifies the institution that the student will not return?	_____________	yes___no___
668.22(j)(4)(iii)	X. If the student takes an unapproved leave of absence, does the institution refund any amount due the student directly within 30 days after the student's last recorded date of documented class attendance?	_____________	yes___no___
668.22(f)(1)	Y. If a student who received Title IV funds *other than FWS, FFEL, or Direct Loan* withdraws, drops out, or is expelled on or after the first day of class, does the institution determine whether the student received an overpayment for non-institutional costs for the enrollment period for which the student was charged?	_____________	yes___no___
668.22(f)(2); 1996-97 FSFA Handbook, p. 3-98	1. In determining whether the student has received an overpayment, does the institution consider only non-institutional costs that the student incurred up to the time of withdrawal?	_____________	yes___no___
668.22(f)(2)(i)	a. Does the institution exclude from the repayment calculation any amounts the student received from the FWS, FFEL, or Direct Loan programs?		
668.22(g)(3)(i)	Z. If the student received an overpayment of aid for non-institutional costs, does the institution make every reasonable effort to recover the overpayment from the student?	_____________	yes___no___
668.22(g)(3)(iii)	1. If the amount of the student's overpayment is less than $100, does the institution consider the student not to have received an overpayment, and take no further action?	_____________	yes___no___
668.22(h)(1),(2)	AA. When a student repays an overpayment, does the institution allocate that repayment to the	_____________	yes___no___

Reference	Question	Responsible Office	Response
	programs in the order specified by regulation in all cases?		
668.22(h)(2)(i),(ii)	1. Does the institution ensure that no part of a repayment is allocated to the FWS, FFEL, or Direct Loan programs?	____________	yes___no___
668.22(g)(3)(ii)	2. Does the institution ensure that the repaid amount distributed back to an aid program does not exceed the amount the student received from that program?	____________	yes___no___
668.22(h)(2)(v)	3. Does the institution return the portion of the student's repayment allocated to the Federal Pell Grant, FSEOG, or Federal Perkins program within 30 days of the date that the student repays the overpayment?	____________	yes___no___
668.21 674.16(f) 676.16(d) 690.78(b)	BB. Does the institution return to the appropriate program account **all** Federal Pell Grant, FSEOG, or Federal Perkins Loan funds that were disbursed to a student and/or credited to the account of a student: ▸ who withdraws, drops out, or is expelled *before* the first day of classes; or ▸ for whom the institution cannot document attendance in any class?	____________	yes___no___
682.604(d)(3)	CC. For a registered student who withdraws or is expelled before the first day of class of an enrollment period, does the institution return FFEL proceeds to the lender?	____________	yes___no___
682.604(d)(3)	1. Are the proceeds returned within 30 days of the first day of the enrollment period?	____________	yes___no___
682.604(d)(4)	2. For a registered student for whom the institution cannot, for any other reason, document any class attendance, does the institution return to the FFEL lender: ▸ proceeds credited to the student's account; and ▸ payments made by the student to the institution to the extent that they do	____________	yes___no___

Reference	Question	Responsible Office	Response
	not exceed the amount of proceeds delivered to the student?		
682.604(d)(4)	a. Are proceeds returned within 30 days of the student's withdrawal date?	____________	yes___no___
685.303(b)(3)	DD. For a registered student who withdraws or is expelled before the first day of class of an enrollment period, or who fails to attend during that period, or for whom the institution cannot, for any other reason, document any class attendance, does the institution return to the Direct Loan servicer: ▸ proceeds credited to the student's account; and ▸ payments made by the student to the institution to the extent that they do not exceed the amount of proceeds delivered to the student?	____________	yes___no___
685.303(b)(3)	1. Are the proceeds returned within 30 days of the student's withdrawal date?	____________	yes___no___
682.604(d)(4) 685.303(b)(3)	EE. Does the institution notify the FFEL lender or Direct Loan servicer, within 30 days of the student's withdrawal date, of the student's withdrawal, expulsion, or failure to attend?	____________	yes___no___

Comments on Compliance with Title IV General Provisions ____________________________

Comments (Cont'd)

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II. Federal Pell Grant Program

Prepared by______ Date______
Reviewed by______ Date______

Reference	Question	Responsible Office	Response
DCL P-94-7	A. If the institution enrolls incarcerated students, does it:		
	1. Consider as eligible only students incarcerated in local penal institutions (regardless of the jurisdiction that convicted them), or in private penal institutions under contract with local government entities?	____________	yes___no___
	2. Consider as ineligible students incarcerated in Federal or State penal institutions, or in private penal institutions operated under contract with Federal or State governments?	____________	yes___no___
●DCL P-96-3	B. ●Does the institution refrain from disbursing Federal Pell Grant funds to students if, on or after February 14, 1996, it had lost its eligibility to participate in the FFEL or Federal Direct Loan Program as a result of cohort default rates, unless it meets one of the limited exceptions?	____________	yes___no___ n/a___
690.6(a) 690.75(a)(1),(2) 690.2, *Undergraduate student*	C. Does the institution ensure that Federal Pell Grants are awarded only to eligible undergraduate students who do not yet have a baccalaureate or first professional degree?	____________	yes___no___
690.6(b); 1996-97 FSFA Handbook, p. 4-4	1. Does the institution determine when a student is considered to have completed the baccalaureate course of study?	____________	yes___no___
690.6(b)	a. Does the institution exclude from this determination any noncredit or remedial courses and courses in English language instruction?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-55	D. Is the institution aware that students who are enrolled less than half-time are eligible to receive Federal Pell Grants, and that the institution does not have the discretion to deny payment to an eligible student who is enrolled less than half-time?	____________	yes___no___
690.11	E. Upon learning that a student is concurrently attending another institution, does the institution ensure that the student does not receive Federal Pell Grants from both institutions?	____________	yes___no___
	1. Does the institution attempt to resolve potential overaward situations upon receipt	____________	yes___no___

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Items marked ◆ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
	of a letter from ED that indicates one of its students may have received grants from more than one institution in an award year in excess of the student's eligibility?		
690.61(a)(1)	F. Does the institution pay only on valid SARs or ISIRs?	____________	yes___no___
690.61(a)(1)(ii)(A)	1. Does the institution pay an eligible student's Federal Pell Grant on the basis of a valid ISIR whether or not the student submits a paper SAR?	____________	yes___no___
FR, 11/1/94, p. 54719; 690.2, *Valid ISIR* and *Valid SAR*	2. Is the institution aware of the current signature requirements, which do not require a valid SAR or ISIR to be signed by the student, whether it is a first transaction or a subsequent transaction resulting from corrections based on signed documentation?	____________	yes___no___
690.61(b), FR, 09/09/96 p. 47653	3. When enforcing the receipt deadline for SARs and ISIRs does the institution use the earlier of: ▸ the student's last day of attendance; or ▸ the deadline date established by the Secretary through a Notice published in the Federal Register (August 29, 1997 for 1996-97)?	____________	yes___no___
668.60(c) FR, 09/09/96 p. 47653	a. When verification is required, does the institution accept corrected SARs/ISIRs until the extended deadline announced by ED (for 1996-97: 60 days after the student's last date of enrollment or August 29, 1997, which ever is earlier)?	____________	yes___no___
668.60(c)(1)	i. Is the institution aware that the student cannot use the verification extension to increase eligibility?	____________	yes___no___
FR, 11/1/94, pp. 54719, 54721; 690.12(b)(1)	G. If the institution submits application data through EDE, does it ensure that the application (or printout of the information entered on an electronic application) is signed by the student and, for a dependent student, by at least one parent prior to transmission?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
FR, 11/1/94, p. 54721; ●690.14(b)(3) ✦690.14(c)(1)	1. If the institution transmits corrections through EDE, does it ensure that the corrections documentation is properly signed?	____________	yes___no___
FR, 11/1/94, p. 54721	a. Does the institution review the ISIR generated by the transmitted corrections to ensure that the information accurately reflects the correction documentation?	____________	yes___no___
690.82(b)	2. Does the institution retain the signed application and signed correction documents to support EDE transmissions, even if the student never actually attends that institution?	____________	yes___no___
690.64(a)	H. When a payment period encompasses July 1, does the institution assign the entire payment period to only one award year?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-35	1. Regardless of whether the institution assigns the crossover period to a particular award year in all cases, or determines the award year on a student-by-student basis, does it ensure that it has a valid SAR or ISIR for the student for the award year selected?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-55	2. Does the institution understand that it may not deny payment to a student who has eligibility under the institution's policies regarding assignment of a crossover period to an award year, just because the payment period occurs during the summer?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-38	3. Is the institution aware that it may choose whether to combine multiple summer minisessions into a single term?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-38	a. If the institution treats individual summer minisessions as separate terms, does it use Formula 3 to calculate Federal Pell Grant payments for all terms in the award year?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-38	b. If the institution combines summer minisessions into a single term, does it determine enrollment status for that payment period based on either:	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	- the total number of credits the student is taking for all minisessions, if that number is known, or - a projected number based on the credits the student is taking for the first session, if the total for all minisessions is not known?		
690.80(b)(2)(ii); 1996-97 FSFA Handbook, p. 4-38	i. Does the institution recalculate the award if the student does not ultimately begin attendance in all classes (in all minisessions) used to determine enrollment status?	___________	yes___no___
1996-97 FSFA Handbook, pp. 4-14 - 4-15, 4-36	I. Does the institution use the same definition of full-time (and consequently half-time) for all Title IV programs for students in the same academic program, ensuring that its definition of full-time meets the requirements of the applicable Federal Pell Grant formula, regardless of the definition used by the institution's registrar?	___________	yes___no___
1996-97 FSFA Handbook, p. 4-15	1. For non-standard terms, is the number of credit hours used to define full-time status rounded up to the next whole number, if the formula 3 calculation results in a fraction?	___________	yes___no___ n/a___
●690.3(b) ✦668.4 690.66(b)(1)	J. Does the institution have a written definition (consistent with regulatory criteria) of payment periods for each eligible non-term program?	___________	yes___no___ n/a___
●690.3(b)(3) ✦668.4(b)(3)	1. If a student cannot earn half of his or her credits in the program or in the academic year (depending on which must be used to define the non-term payment period) until after the midpoint between the first and last scheduled days of class, does the institution consider the student to begin his or her second payment period on the later of: - the calendar midpoint between the first and last scheduled days of class of the program or academic year; or - the date that the student completed half of his or her academic coursework?	___________	yes___no___ n/a___

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Reference	**Question**	**Responsible Office**	**Response**
690.75(a)(3) ✦668.4(b)(1),(2)	2. Does the institution withhold subsequent payments until the student has completed: ▸ the clock hours for which he or she has been paid, if the student's program is measured in clock hours; or ▸ the credit hours for which he or she has been paid, if the student's program is measured in credit hours and does not have academic terms?	____________	yes___no___ n/a___
1996-97 FSFA Handbook, p. 4-18	K. When calculating awards, does the institution always use a cost of attendance (COA) based on full-time, full academic year attendance, which complies with statutory requirements?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-18	1. For less-than-half-time students, does the cost of attendance reflect full-time, full-year amounts only for those cost components that are allowable for less-than-half-time status?	____________	yes___no___
1996-97 FSFA Handbook, pp. 4-18 - 4-21	2. Have costs for programs or enrollment periods longer or shorter than an academic year been prorated for Federal Pell Grant purposes so that they represent the costs for a full academic year?	____________	yes___no___ n/a___
	a. Does the institution use one of the two allowable methods to prorate the COA so that it represents the costs for full academic year?	____________	yes___no___ n/a___
	i. If the institution chooses to prorate all of the costs of attendance by one fraction, does it multiply those costs by the lesser of: ▸ $\frac{\text{weeks of instructional time in the academic year}}{\text{weeks of instructional time for which those costs apply}}$ or, ▸ $\frac{\text{credit/clock hours in the academic year}}{\text{credit/clock hours for which the costs apply}}$	____________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
	ii. If the institution chooses to split the costs of attendance into costs associated with credit/clock hour and costs associated with weeks:		
	• are costs associated with time (i.e., room, board miscellaneous personal, transportation, dependent care, study abroad, disability-related, and cooperative education expenses) prorated on the basis of *weeks of instruction* in the academic year?	____________	yes___no___ n/a___
	• are costs associated with credit or clock hours (i.e., tuition, fees, books, and supplies, and loan fees, if applicable) prorated on the basis of *hours* in the academic year?	____________	yes___no___ n/a___
690.62(a); 690.63(b)(2), (c)(2), (d)(2), (e)(1), 690.66(a)(1)	L. Does the institution use the Payment Schedule to determine annual awards for full-time students, and for part-time students in clock-hour or non-term credit-hour programs, and the appropriate Disbursement Schedule to determine the annual award for part-time students in term-based programs?	____________	yes___no___
✦DCL POL-97-1	1. ✦Does the institution use the alternate Federal Pell Grant Schedules for students with tuition charges of less than $150? *NOTE: In cases when tuition is less than $150, institutions may be required to use the alternate payment schedules because a provision of the Higher Education Act requires an alternate calculation when the maximum Federal Pell Grant award exceeds $2400.*	____________	yes___no___ n/a___
690.63(a)	M. Is the student's Federal Pell Grant entitlement computed correctly based on the student's 9-month EFC, full-year cost of attendance, and length of the period of enrollment and the school's academic year definition, by using the appropriate calculation formula listed below?	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	NOTE: If ED has granted the institution permission to use less than 30 weeks of instructional time in its definition of academic year, the approved number of weeks is substituted for 30 in the criteria listed below.		
690.63(a)(1)	1. Formula 1 (or Formula 3) for a standard-term, credit-hour program which: ▸ defines full-time as at least 12 credit hours in each term during the award year (including summer session); ▸ does not have overlapping terms; ▸ uses an academic calendar which includes 2 semesters, 2 trimesters, or 3 quarters, covering *at least* 30 weeks of instructional time, in a fall through spring timeframe.		
690.63(a)(2)	2. Formula 2 (or Formula 3) for a standard-term, credit-hour program which: ▸ defines full-time as at least 12 credit hours in each term during the award year (including summer session); ▸ does not have overlapping terms; ▸ uses an academic calendar which includes 2 semesters, 2 trimesters, or 3 quarters, covering *less than* 30 weeks of instructional time, in a fall through spring timeframe.		
690.63(a)(3)	3. Formula 3 for any term-based, credit-hour program that does not meet *all* of the conditions for Formula 1 or Formula 2.		
690.63(a)(4)	4. Formula 4 for any clock-hour program or for a credit-hour program without terms.		
690.63(a)(5) 690.66(d)	5. Formula 5A for non-term correspondence programs or Formula 5B for term-based correspondence programs (*non-residential* components; for residential components, Formula 3 or Formula 4 is used).		
690.63(f)	N. Does the institution ensure that no single disbursement of Federal Pell Grant funds under Formula 3 or 4 exceeds 50% of the student's annual award?	____________	yes___no___ n/a___

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FEDERAL PELL GRANT

Reference	Question	Responsible Office	Response
	1. If the amount calculated for a payment period exceeds 50% of the annual award, does the institution:		
	a. Make at least two disbursements within the payment period?	____________	yes___ no___ n/a___
	b. Ensure that no more than 50% of the annual award is disbursed before the student completes 50% of the weeks of instructional time in the program's academic year?	____________	yes___ no___ n/a___
690.63(g)(1)	O. Does the institution ensure that a student's total Federal Pell Grant disbursements for the award year do not exceed his/her Scheduled Federal Pell Grant award for that award year?	____________	yes___ no___
690.67	1. If ED has announced in the *Federal Register* that institutions may pay a student up to a second Scheduled Federal Pell Grant in an award year, does the institution pay from second awards only students accelerating their studies in an associate or bachelor's degree program?	____________	yes___ no___
690.65©	2. Does the institution adjust the award when necessary to prevent a transfer student from exceeding his/her scheduled Federal Pell Grant for that award year?	____________	yes___ no___
690.65(d),(e)	a. If a transfer student's new Scheduled Pell Grant differs from the Scheduled Pell Grant for the same award year at the institution from which he/she transferred, does the institution calculate the student's maximum entitlement based on the unutilized *percentage* of the Scheduled award?	____________	yes___ no___
690.80(a)(1)	P. Does the institution understand when it must recalculate a student's Federal Pell Grant award, and have procedures in place to identify students for whom recalculation is required?	____________	yes___ no___
	1. If the student's expected family contribution (EFC) changes at any time during the award year, does the institution recalculate the award for the entire award year?	____________	yes___ no___

Reference	**Question**	**Responsible Office**	**Response**
690.80(a)(2)	a. Are resultant under- or overpayments corrected, except for underpayments that result from verification if the corrected SAR/ISIR is received after the initial submission deadline (i.e., during the verification extension)?	____________	yes___no___
690.80(b)(1)	2. If the student's enrollment status changes from one academic term to another within the same award year, does the institution recalculate the award (taking into account any changes in cost of attendance) for the new payment period?	____________	yes___no___
690.80(b)(2)(ii)	3. If the student's enrollment status changes *within* the payment period *before* the student begins attendance in all classes, does the institution recalculate the award (taking into account any changes in cost of attendance) to reflect only those classes for which the student actually began attendance?	____________	yes___no___
	Q. Has the institution established policies regarding optional recalculation of Federal Pell Grants?	____________	yes___no___
690.80(b)(2)(i); 1996-97 FSFA Handbook, p. 4-64	1. If the institution's policy is to recalculate awards when a student's enrollment status changes *within* a payment period *after* the student has begun attendance in all classes, is this policy applied consistently to all students, at any time during the payment period, whether the adjustment causes the award to increase *or* decrease?	____________	yes___no___
690.80(c)	2. If the institution's policy is to recalculate awards when a student's cost of attendance (COA) changes at any time within the award year but enrollment status remains the same, is the policy applied consistently to all students, whether the adjustment causes the award to increase *or* decrease?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-65	a. Is recalculation performed only for payment periods that are affected by the change in cost?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-65	b. Does the institution understand that it may establish a policy that differentiates between changes in COA that occur	____________	yes___no___

Reference		**Question**	**Responsible Office**	**Response**
		within a payment period and changes that occur *between* payment periods?		
690.75(a); 1996-97 FSFA Handbook, p. 4-55	R.	Does the institution confirm that students continue to meet eligibility criteria before paying a Federal Pell Grant for a payment period?	____________	yes___no___
●690.75(b) ◆668.164(g)(2)(I)(D),(3)(I)	S.	If the institution receives a valid SAR or ISIR while a student is eligible but that student becomes ineligible before receiving payment, does the institution pay only the amount that it determines could have been used for educational purposes before the student became ineligible?	____________	yes___no___ n/a___
◆690.78(c)(6) ◆668.164(g)(3)(ii)		1. ◆Does the institution make late disbursements of Federal Pell Grants no later than 90 days after students become ineligible?	____________	yes___no___ n/a___
690.76(b); 1996-97 FSFA Handbook, p. 4-57	T.	If the institution pays a student retroactively for a completed payment period within the award year, is payment based on hours *completed* by the student for that payment period (in determining enrollment status)?	____________	yes___no___
690.78(c)(2)	U.	If a student does not pick up a disbursement check on time, does the institution still pay the student if he or she requests payment within:	____________	yes___no___
		- ● 15 days after the last date that his or her enrollment ends in that award year?		
		- ◆ 20 days after the last date that his or her enrollment ends in that award year?		
668.78(c)(5)		1. Does the institution understand that, if the student does not pick up the check by the end of that period, it has the *option* of paying the student through the next payment period?	____________	yes___no___
690.79(a)(2); 1996-97 FSFA Handbook, p. 4-68	V.	Is the institution aware of its obligation to refund any overpayment resulting from incorrect use of the Federal Pell Grant Payment or Disbursement Schedules or failure to follow other program procedures, regardless of whether they are able to collect the overpayment from the effected student?	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
1996-97 FSFA Handbook, p. 4-68	1. Is the institution aware that if it refunds an overpayment on behalf of a student, that the student is no longer considered to owe an overpayment, and is eligible to receive further Title IV aid?	____________	yes___no___
668.35(c)	2. Is the institution aware that any student who received an overpayment may continue to receive Title IV aid if he or she makes repayment arrangements that are satisfactory to the institution?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-68	W. Does the institution understand that it may not eliminate Federal Pell Grant overpayments from a prior award year by adjusting the student's payments for the current award year?	____________	yes___no___
690.79(b)(1)	X. Does the institution assist ED in collecting overpayments from students even when the overpayment is not the institution's fault?	____________	yes___no___
690.79(b)(2); 1996-97 *Verification Guide*, p. 63	1. Does the institution report student liability for overpayments to ED when it is unable to collect or resolve the overpayment?	____________	yes___no___
690.83(a)	Y. Does the institution report payment data to the Department of Education in one of the formats ED prescribes and by the dates ED specifies?	____________	yes___no___
690.83(b)(1)	1. Does the institution report any change in enrollment status, cost of attendance, or other factor that causes a change in the amount of Federal Pell Grant for which a student qualifies by the end of the reporting period that next follows the reporting period in which the change occurred?	____________	yes___no___
1996-97 FSFA Handbook, p. 4-84	a. Does the institution report situations in which previously reported anticipated payments for subsequent payment periods are not made?	____________	yes___no___
●690.82(a)(1); General Provisions Act, Sec. 443(a), as amended by P.L. 103-382	Z. ●Does the institution maintain required records for 3 years after the award year has ended (or until audit questions are resolved) for each student who received a Federal Pell Grant, including the items listed below:	____________	yes___no___
	1. The student's SAR or ISIR?	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

FEDERAL PELL GRANT

Reference	**Question**		**Responsible Office**	**Response**
		NOTE: Since the SAR or ISIR documents the official EFC for the student, the SAR or ISIR also needs to be maintained for students who receive Title IV assistance other than a Federal Pell Grant.		
	2.	The eligibility of each enrolled student for whom the institution has received a valid SAR or ISIR?	____________	yes___no___
	3.	The student's name and social security number?	____________	yes___no___
	4.	The amount paid to each student?	____________	yes___no___
	5.	The amount and date of each payment?	____________	yes___no___
	6.	The amount and date of any overpayment that has been restored to the program account?	____________	yes___no___
	7.	Each student's cost of attendance?	____________	yes___no___
	8.	How each student's enrollment status was determined?	____________	yes___no___
	9.	Each student's enrollment period?	____________	yes___no___
	10.	Documentation of a student's eligibility for any part of a second Scheduled Federal Pell Grant award in any award year in which a second scheduled award is permitted?	____________	yes___no___
	NOTE: Minimum record retention requirements were changed to three years as a result of statutory amendments made by the Improving America's Schools Act of 1994. In February, 1996, ED issued guidance making the three- year period applicable to all records, regardless of when the records were established, except as related to audit or program review issues.			
◆690.82(a);	AA.	◆Does the institution follow the record retention and examination requirements outlined in Subpart B of the General Provisions regulations for each student who received a Federal Pell Grant?	____________	yes___no___
690.10(b)	BB.	Are administrative cost allowances used solely for the institution's costs of	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ◆ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	administering the Federal Pell Grant, FSEOG, FWS and Federal Perkins Loan programs?		
690.10(c)	1. If the institution enrolls a significant number of less than full-time students or independent students, does the institution use a reasonable proportion of the funds for financial aid services during times and places that will most effectively accommodate the needs of these students?	______________	yes___no___

Other Recommended Good Practices for the Administration of the Federal Pell Grant Program

Practice **Comments**

1. If corrections are not submitted electronically, the institution should monitor SARs that are corrected as a result of verification when they are resubmitted.
2. When processed payment data are returned from the Department of Education, they should be reviewed to determine whether further action is needed. (NOTE: 1995-96 was the last year that the Department of Education provided paper Payment Vouchers. Payment information is now transmitted electronically.)
3. The institution should reconcile Student Payment Summaries carefully with its records of the individual payments made and reported.
4. If a corrected Institutional Payment Summary is received from ED, the corrections should be verified before the next report is transmitted, and appropriate action should be taken to reconcile disbursements and institutional records.
5. If it does not do so at present, the institution should consider establishing consortium agreements with other institutions where its students may be enrolled for one or more courses, to enable those students to make maximum use of their Federal Pell Grant eligibility.

Comments on the Administration of the Federal Pell Grant Program

Comments (Cont'd)

III. Campus-Based Programs, Common Provisions

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
DCL GEN-93-3; 1996-97 FSFA Handbook, p. 5-7	A. Does the institution require all applicants for campus-based funds to submit a FAFSA and receive an official EFC processed by the CPS?	____________	yes___ no___
	1. If the institution recalculates the EFC to correct erroneous data, does it use only the Federal Methodology?	____________	yes___ no___
674.10(c) 675.10(b); DCL CB-91-8	B. Does the institution have written policies and procedures describing the selection criteria for awarding campus-based funds?	____________	yes___ no___
674.10(b) 675.10(c) 676.10(b)	C. Does the institution offer at least 5% of its FSEOG and FWS allocations and at least 5% of loans made under the Federal Perkins Loan Program to non-traditional students (i.e., part-time students and independent students) if:	____________	yes___ no___
	▸ the allocation for the program (Federal Perkins, FSEOG or FWS) is directly or indirectly based in part on the financial need of non-traditional students;		
1996-97 FSFA Handbook, p. 5-8	▸ the total financial need of non-traditional students exceeds 5% of the total financial need of all of the institution's students; and		
	▸ for FSEOG or FWS, the allocation for the program is more than $5,000, or for Federal Perkins, the institution received new FCC for that award year?		
●674.14(a)(1),(2) ●675.14(a)(1),(2) ●676.14(a)(1),(2) ◆673.5(a)(1),(2)	D. Before awarding campus-based funds does the institution consider all of the student's resources that it can reasonably anticipate, makes available, or knows about, in order to avoid exceeding the student's need?	____________	yes___ no___
●674.14(b) ●675.14(b) ●676.14(b) ◆673.5(c)	1. Does the institution include as resources: Federal Pell Grant to which the student is entitled; FFELP loans not used to replace the expected family contribution (EFC); tuition/fee waivers; fellowships, assistantships, grants, or scholarships, including ROTC; insurance programs for the student's education; veterans benefits; net earnings from need-based employment; long-term loans, including Federal Perkins and Direct Loans, made by the institution and not used to replace EFC?	____________	yes___ no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ◆ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
●674.14(a)(3) ●675.14(a)(3) ●676.14(a)(3) ✦668.5(d)	E. Does the institution review a student's aid package when additional resources are received to determine if there is an overaward?	____________	yes___no___
●674.14(c) ●675.14(c) ●676.14(c) ✦673.5(d)	1. If a student receives additional resources, and the total resources including the financial aid awarded exceed the student's need by more than $300, does the institution adjust the student's financial aid package to prevent an overaward?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-80 - 10-81	2. If the institution has received but not yet delivered Stafford loan proceeds, does the institution reduce the overaward by first returning the Stafford loan proceeds?	____________	yes___no___
●674.15 ●675.15 ●676.15 ✦673.6	F. Does the institution comply with requirements to coordinate campus-based funds with BIA grants, and revise awards only as specified by those requirements?	____________	yes___no___
DCL GEN-92-1	G. Does the institution coordinate awards with its local Office of Vocational Rehabilitation (VR) for disabled students eligible for VR assistance?	____________	yes___no___
●674.18(b) ●675.18(b) ●676.18(b) ✦673.7	H. Does the institution understand and follow federal regulations in calculating the administrative cost allowance?	____________	yes___no___
●674.18(b)(4) ●675.18(b)(4) ●676.18(b)(4) ✦673.7(e)	I. Are administrative cost allowances used only to offset the costs of administering the campus-based and Federal Pell Grant programs (including expenses incurred in carrying out "Student Consumer Information Services" under 34 CFR Part 668 Subpart C)?	____________	yes___no___
HEA, Sec. 489	1. If the institution enrolls a significant number of part-time and independent students, does the institution use a reasonable portion of its administrative cost allowance to provide financial aid services at times and in places that most effectively accommodate their needs?	____________	yes___no___
674.19(e)(1) ●675.19(c)(1) ●676.19(c)(1) ✦675.19(b)(i)	J. Does the institution keep intact and accessible records of the application, the receipt, and the expenditure of Federal funds, including all accounting records and original and supporting records necessary to document how the funds	____________	yes___no___

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Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
	were spent?		
General Provisions Act, sec. 443(a), as amended by P.L. 103-382; ● 1996-97 FSFA Handbook, p. 5-18; ◆668.24(e)(i)	K. Does the institution keep its Fiscal Operations Report and Application to Participate (FISAP), and any records necessary to support the data contained in the FISAP, for: ● three years after it submits its FISAP for that award year? ◆ three years after the end of the award year in which the FISAP was submitted?	____________	yes___no___
●674.19(e)(3)(iii) ●675.19(c)(4) ●676.19(c)(4) ◆674.19(e)(1) ◆675.19(b)(1) ◆676.19(b)(1)	1. Does the institution keep records on any expenditure or claim questioned by Federal audit or program review until: ●the questions are resolved? ◆the later of- the resolution of that questioned claim or expenditure; or the end of the retention period applicable to that record.	____________	yes___no___
●674.19(e)(4)(v) ●675.19(c)(3)(ii) ●676.19(c)(3)(ii) ◆674.19(e)(1) ◆675.19(b)(1) ◆676.19(b)(1)	2. If the institution keeps its records in computer format, does it maintain the source documents supporting the computer input in: ●either hard copy, microforms, optical disk, or other comparable imaging technology? ◆hard copy, microforms, computer file, optical disk, CD-ROM or other media format that is retreivable in a coherant hard copy, or other acceptable media format?	____________	yes___no___
●674.19(d)(2) ●675.19(b)(2)(iv)-(vii) ●676.19(b)(2) ◆674.19(d)(1) ◆675.19(b)(2)(iv) ◆676.19(b)(2) ◆668.24(c)	L. For each of the campus-based programs in which the institution participates, does it maintain program and fiscal records that:		

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Items marked ◆ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
	1. Are reconciled at least monthly?	____________	yes___no___
	2. ●Identify each student's account and status?	____________	yes___no___
	3. ●Show the eligibility of each student aided under the program?	____________	yes___no___
	4. ●Show the amount of need and how the need was met for each student? *NOTE: Beginning in 1996-97, record retention requirements related to student records are located in the General Provisions Regulations.*	____________	yes___no___
●674.19(d)(3) ●675.19(b)(3) ●676.19(b)(5) ✦674.19(d)(2) ✦675.19(b)(3) ✦676.19(b)(3)	M. Do the institution's accounting system and program records enable the accurate preparation and submission of Fiscal Operations Reports?	____________	yes___no___
	1. Is the report submitted by the date specified annually by the Department of Education?	____________	yes___no___
674.16(b),(c),●(h), ✦(g); 675.16(a)(1)(i) 676.16(a),(b),●(f), ✦(e)	N. Does the institution observe the requirements for disbursing a portion of awarded funds in each payment period or, in the case of FWS, at least once a month?	____________	yes___no___
● 674.4(e) ● 675.4(e) ● 676.4(f) ✦673.4(c)(3)	O. Is the institution aware that if more than 10% of the institution's allocation is returned to the Department of Education, the institution's allocation for the next fiscal year will be reduced by the amount returned?	____________	yes___no___

Comments on the Administration of the Campus-based Programs ____________________

IV. Federal Perkins Loan Program

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question		Responsible Office	Response
674.10(a)(1)	A.	Does the institution make Federal Perkins Loans reasonably available, to the extent of available funds, to all students, but give priority to students with exceptional need?	____________	yes___no___
674.10(a)(2)		1. Has the institution defined "exceptional need" for purposes of selecting Federal Perkins Loan recipients?	____________	yes___no___
674.9(d)	B.	Does the institution ensure that it receives or makes a determination of eligibility or ineligibility for a Federal Pell Grant for undergraduate Perkins applicants?	____________	yes___no___
674.9(f)	C.	Does the institution require applicants to provide their drivers license number, if any, at the time of applying for the loan? *Note: Drivers license numbers are currently collected on the FAFSA.*	____________	yes___no___
	D.	Does the institution ensure that it considers for Federal Perkins Loan Program assistance:		
674.9(b)		1. students engaged in a program of study abroad approved for credit by the home institution?	____________	yes___no___
1996-97 FSFA Handbook, p. 6-7		2. students enrolled in an undergraduate program even if they have already received a baccalaureate or first professional degree?	____________	yes___no___
668.32(a)(1)(iii)		3. students enrolled at least half-time in teacher certification programs?	____________	yes___no___
674.9(e)	E.	Does the institution deny Federal Perkins Loan funds to any student who evidences unwillingness to repay the loan?	____________	yes___no___
1996-97 FSFA Handbook, p. 6-9		1. Is the institution aware that prior bankruptcy may no longer be used as the sole basis for denying a loan?	____________	yes___no___
	F.	Does the institution consider as ***ineligible*** for Federal Perkins loans:		
1996-97 FSFA Handbook, p. 6-7		1. students serving in a medical internship or residency?	____________	yes___no___ n/a___

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Reference	Question	Responsible Office	Response
668.32(c)(2)(i)	2. incarcerated students?	____________	yes___no___
674.9(g)	3. students whose previous Federal Perkins loan (Perkins, Direct, or Defense) was written off (if the amount of the write-off exceeded $25), unless the student reaffirms that loan?	____________	yes___no___
674.9(h)(1)	4. students whose previous loan was canceled due to total and permanent disability, unless the student obtains a physician's certification that the condition has improved and the borrower is able to engage in substantial gainful activity?	____________	yes___no___
674.9(h)(2)	a. Once the certification is obtained, does the institution require the student to sign a statement acknowledging that any new Federal Perkins Loan Program loan cannot be canceled on the basis of any present impairment, unless that condition substantially deteriorates?	____________	yes___no___
674.5(a)	G. Does the institution understand the effects of its default rate on its program funding?	____________	yes___no___
674.6(a)	1. If the institution's default rate requires it to implement a default reduction plan, does it adhere to the provisions of that plan?	____________	yes___no___
	H. Does the institution observe the appropriate annual award limits listed below:		
674.12(a)	1. For an institution not participating in the Expanded Lending Option (ELO): ▸ $3,000 per academic year for undergraduates; ▸ $5,000 per academic year for graduate or professional students?	____________	yes___no___ n/a________
674.7(b)	2. For an institution participating in the Expanded Lending Option (ELO): ▸ $4,000 per academic year for undergraduates; ▸ $6,000 per academic year for graduate or professional students?	____________	yes___no___ n/a________

Reference	Question		Responsible Office	Response
	I.	Does the institution observe the appropriate aggregate program limits listed below:		
674.12(b)		1. For a non-ELO institution: ▸ $15,000 for undergraduates; ▸ $30,000 for graduate or professional students?	____________	yes___no___
674.7(c)		2. For an institution participating in the Expanded Lending Option (ELO): ▸ $8,000 for a student who has not successfully completed two years of a program leading to a bachelor's degree; ▸ $20,000 for a student who has successfully completed two years of a program leading to a bachelor's degree but who has not received the degree; ▸ $40,000 for a graduate or professional student?	____________	yes___no___ n/a_____
674.7(d) 674.12(c)	J.	Is the institution aware that annual and aggregate limits may be exceeded by 20% for students enrolled in a program of study abroad approved by the home institution, if the program has reasonable costs in excess of the home institution's costs?	____________	yes___no___ n/a___
674.7(e) 674.12(d)	K.	In complying with annual/aggregate limits, does the institution include all amounts borrowed previously by the student under the Federal Perkins Loan Program (at any institution, including any amounts that have been repaid)?	____________	yes___no___
674.20	L.	Is the institution in compliance with the Equal Credit Opportunity requirements?	____________	yes___no___
674.16(a)(1)	M.	Before the institution makes an initial Federal Perkins disbursement to a student, does the institution provide all of the required disclosures listed below:		
		1. The institution's name and the address to which communications and payments should be sent?	____________	yes___no___

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Reference	Question	Responsible Office	Response
	2. The principal amount of the loan and a statement that the institution will report the amount of the loan to a national credit bureau at least annually?	____________	yes___no___
	3. The stated interest rate on the loan?	____________	yes___no___
	4. The yearly and cumulative maximum amounts that may be borrowed?	____________	yes___no___
	5. When repayment will begin and when the borrower will be obligated to pay interest that accrues on the loan?	____________	yes___no___
	6. The minimum and maximum repayment terms which may be imposed and the minimum monthly repayment required?	____________	yes___no___
	7. The total cumulative balance owed by the student to that institution, and an estimate of the monthly payment amount needed to repay that balance?	____________	yes___no___
	8. Special options the borrowers may have for consolidation or other refinancing?	____________	yes___no___
	9. The borrower's right to prepay all or part of the loan, at any time, without penalty, and a summary of the circumstances in which repayment of the loan or interest may be deferred or canceled, including a brief notice of the Department of Defense program for loan repayment based on specified military service?	____________	yes___no___
	10. A definition of default and the consequences to the borrower, including a statement that the institution may report the default to a national credit bureau?	____________	yes___no___
	11. The effect of accepting the loan on eligibility for other forms of student aid?	____________	yes___no___
	12. The amount of any charges collected by the institution at or prior to the disbursement of the loan and any deduction of such charges from the proceeds of the loan or paid separately by the borrower?	____________	yes___no___

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Reference	Question	Responsible Office	Response
	13. Any cost that may be assessed on the borrower in the collection of the loan, including late charges and collection and litigation costs?	____________	yes___no___
674.16(a)(2)	N. Are the required disclosures provided in writing either as part of the written application material, as part of the promissory note, or on a separate written form?	____________	yes___no___
674.16(a)(1)	O. Is each borrower required to sign a promissory note before the institution makes its first disbursement?	____________	yes___no___
674.31(a)(1); DCL CB-96-8	1. Does the institution use only promissory notes that have been provided by the Department of Education, to which the institution has made no substantive changes?	____________	yes___no___
	2. Does the institution use the appropriate promissory note for Direct Loans and for Federal Perkins loans? *Note: Direct Loan provisions apply to any borrower who had an outstanding balance on July 1, 1987, on a loan made under the program (known as the National Direct Student Loan Program prior to October 16, 1986).*	____________	yes___no___
674.32	3. Is the appropriate promissory note for less than half-time borrowers used (if the institution uses a version of promissory note that requires it)?	____________	yes___no___
674.31(a)(2)(iii)	4. If the institution opts to require minimum monthly repayment, does the promissory note specify the correct amount as listed below?	____________	yes___no___
674.33(b)(6)(iii)	• $40 for loans made on or after 10/1/92, to an individual who had no outstanding balance on a Federal Perkins/NDSL/Defense loan on the date the loan is made;		
674.33(b)(6)(ii)	• $30 for all other Federal Perkins and Direct Loans;		

Reference		**Question**	**Responsible Office**	**Response**
674.33(b)(6)(i)		▸ $15 for Defense loans.		
674.16(d)(2)	P.	Does the institution obtain the borrower's signature on a promissory note for *each award year* before it disburses any loan funds under that note for that award year (unless it uses a promissory note that requires a signature for each advance)?	____________	yes___no___
1996-97 FSFA Handbook, p. 6-16	Q.	Does the institution make loans without security or endorsement, even when the borrower is a minor?	____________	yes___no___
674.16(b),(c), ●(h),✦(g)	R.	Are Federal Perkins Loan awards disbursed in equal installments each payment period during the award year unless unequal costs are incurred among payment periods, or unless the total award is less than $501?	____________	yes___no___
●674.16(j) ✦674.16(i); 1996-97 FSFA Handbook, p. 6-101	S.	When a disbursement is made, does the institution report the following information to one of the national credit bureaus specified by the Department of Education? ▸ Amount of the disbursement; ▸ Date of the disbursement; and ▸ Outstanding balance on the loan.	____________	yes___no___
●668.165(b)(1) ✦668.165(a)(2)	T.	When the institution delivers Federal Perkins loan proceeds by crediting the student's institutional account, does it expeditiously notify the student in writing or by equivalent electronic means that it has done so?	____________	yes___no___
✦668.165(a)(3)(i)		1. ✦Is the required notice sent no earlier than 30 days before, and no later than 30 days after crediting the student's account?	____________	yes___no___
✦668.165(a)(2)(ii)		a. ✦As part of this notice, does the institution notify students of their right to cancel all or a portion of the loan or disbursement?	____________	yes___no___
✦668.165(a)(2)(ii)		i. ✦Does the notice inform the student of the procedures and the timeframe by which the cancellation request must be received?	____________	yes___no___

FEDERAL PERKINS LOANS

Reference	Question	Responsible Office	Response
●668.165(b)(1) ◆668.165(a)(3)(ii)	2. If the institution provides the notification electronically, does the institution request the borrower to confirm the receipt of the notice?	____________	yes___no___
●668.165(b)(1) ◆668.165(a)(3)(ii)	a. Does the institution maintain a record of that confirmation?	____________	yes___no___
●674.16(g) ◆668.164(g)(2)	U. If the institution chooses to disburse Federal Perkins Loan funds to a borrower after he/she has ceased to be enrolled, are late disbursements made only if the loan was awarded to the borrower while he/she was still an eligible student?	____________	yes___no___ n/a___
●674.16(g)(2)(ii) ◆668.164(g)(3)(i)	1. Is the amount of the late disbursement limited to documented educational costs, normally included in the cost of attendance, for the payment period for which the loan was intended and the student was enrolled?	____________	yes___no___ n/a___
●674.16(g)(3)	2. ●Is the reason for the late disbursement documented in the student's file?	____________	yes___no___ n/a___
◆668.164(g)(3)(ii)	3. ◆Is the late disbursement made no later than 90 days after the date that the student becomes ineligible to receive the Perkins Loan funds?	____________	yes___no___ n/a___
674.16(f)(1)	V. Does the institution return to the Perkins account any funds paid to a student who withdraws or is expelled before the first day of classes?	____________	yes___no___ n/a___
674.16(f)(2)	1. Does the institution regard a student who did not begin class attendance as having withdrawn?	____________	yes___no___ n/a___
674.41(b)	W. Does the institution ensure that information available in any of its offices (including the admissions, business, alumni, placement, financial aid and registrar's offices) is provided to those offices responsible for billing and collecting loans, in a timely manner, as needed to determine: ▸ the enrollment status of the borrower;	____________	yes___no___

Reference	Question		Responsible Office	Response
		‣ the expected graduation or termination date of the borrower; ‣ the date the borrower withdraws, is expelled, or ceases enrollment on at least a half-time basis; and ‣ the current name, address, telephone number and Social Security number of the borrower?		
674.33(a)(1)	X.	Does the institution establish a repayment plan before the student ceases to be enrolled as at least a half-time regular student?	____________	yes___no___
674.33(a)(2)		1. Is the institution aware that the last payment may be combined with the next-to-last if the last payment would be $25 or less?	____________	yes___no___
668.43(c)(6) 674.42(a)(1)	Y.	Does the institution conduct an exit interview with each borrower before he/she leaves the institution, explaining the following issues:		
		1. The loan terms and outstanding balance?	____________	yes___no___
		2. The borrower's duty to repay the loan in accordance with the repayment schedule?	____________	yes___no___
		3. The consequences of default, including, at a minimum, possible referral to a collection firm, reporting to a credit bureau, and litigation?	____________	yes___no___
		4. The borrower's rights to forbearance, deferment, cancellation, or postponement of repayment and the procedures for filing for those benefits?	____________	yes___no___
		5. The borrower's responsibility to inform the institution immediately of any change of name, address, telephone number, or Social Security number; and the borrower's responsibility to contact the institution before the due date of any payment he or she cannot make?	____________	yes___no___
674.42(a)(2)	Z.	During the exit interview, does the institution disclose the following information, and		

Reference	Question	Responsible Office	Response
	include it in the promissory note or in another written statement provided to the borrower:		
	1. The name and address of the institution to which the debt is owed?	____________	yes___no___
	2. The name and address of the official or servicing agent to whom communications should be sent?	____________	yes___no___
	3. The name and the address of the party to which payments should be sent?	____________	yes___no___
	4. The estimated balance owed by the borrower on the loan held by the institution on the date on which the repayment period is scheduled to begin?	____________	yes___no___
	5. The stated interest rate on the loan?	____________	yes___no___
	6. A repayment schedule for loans covered by the disclosure, including: ▸ due date of the first payment; ▸ number, amount, and frequency of required payments?	____________	yes___no___
	7. An explanation of any special options the borrower may have for loan consolidation or other refinancing of the loan, and a statement that the borrower has the right to prepay all or part of the loan at any time without penalty?	____________	yes___no___
	8. A description of the charges imposed for failure of the borrower to pay all or part of an installment when due?	____________	yes___no___
	9. A description of any charges that may be imposed as a consequence of default, such as liability for expenses reasonably incurred in attempts by the Department of Education or the institution to collect on the loan?	____________	yes___no___
	10. The total of interest charges which the borrower will pay on the loan pursuant to the projected repayment schedule?	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	11. General information about the average indebtedness of students with Perkins Loan Program loans at that institution?	____________	yes___no___
674.42(a)(3)	AA. At the time of the exit interview, does the institution require the borrower to provide:		
	▸ his/her expected permanent address after leaving the institution?	____________	yes___no___
	▸ his/her expected employer after leaving the institution?	____________	yes___no___
	▸ name and address of next of kin?	____________	yes___no___
	▸ any corrections in the institution's records relating to the borrower's name, address, social security number, references and driver's license number?	____________	yes___no___
674.42(a)(4)(i),(ii)	BB. At the exit interview, does the institution have the borrower sign the repayment schedule and give the borrower a fully executed copy of the signed promissory note and the signed repayment schedule?	____________	yes___no___
674.31(b)(2)(ii)(B)	1. If the student has requested repayment in graduated installments, has the repayment schedule been approved by the Department of Education?	____________	yes___no___
674.42(a)(5)(i)	CC. For students who leave without the institution's knowledge or without an exit interview, does the institution mail the information required for exit interviews to the student, along with a copy of the note and two copies of the repayment schedule with a request to sign and return one of the schedules to the institution?	____________	yes___no___
674.42(a)(4)(iii)	DD. Does the institution retain signed copies of both the note and the repayment schedule in the institution's files?	____________	yes___no___
674.19(e)(4)(i),(vi)	1. Are original promissory notes and repayment schedules stored in locked fireproof containers, access to which is restricted to authorized personnel?	____________	yes___no___

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Reference		Question	Responsible Office	Response
674.41(a)(1),(2)	EE.	Does the institution keep the borrower informed on a timely basis of all changes in the program that affect his or her rights or responsibilities, and respond promptly to all inquiries from the borrower or any endorser?	___________	yes___no___
	FF.	Is the institution familiar with all deferment provisions applicable to each type/date of loan, so as to ensure that the correct provisions are allowed to each borrower:	___________	yes___no___
674.34		1. Perkins and Direct Loans made on or after 7/1/93? *NOTE: For the deferment for borrowers whose education debt burden exceeds 20% of gross income [674.34(e)(5)].*	___________	yes___no___
674.35		2. Perkins loans made before 7/1/93?	___________	yes___no___
674.36		3. Direct Loans made on/after 10/1/80 but before 7/1/93?	___________	yes___no___
674.37		4. Direct Loans made before 10/1/80 and Defense loans?	___________	yes___no___
674.38(a)(1)	GG.	Does the institution require written requests and adequate written documentation before granting a deferment?	___________	yes___no___
674.38(d)		1. Does the institution determine the borrower's continuing eligibility for deferment at least annually?	___________	yes___no___
●DCL GEN-96-10 DCL GEN-96-18	HH.	Is the institution familiar with allowable modifications of deferment, forbearance, and due diligence provisions for victims of specified recent natural disasters and for affected schools located in the disaster areas?	___________	yes___no___
		1. Has the institution documented actions taken under authorized regulatory relief?	___________	yes___no___ n/a___
674.38(b)(2)	II.	Does the institution require a new written repayment agreement as a condition of deferment of a defaulted loan?	___________	yes___no___
674.33(c)(2)(iii)	JJ.	Does the institution review annually the status of any borrower whose payment period has been extended due to low income to ascertain	___________	yes___no___

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Reference	Question	Responsible Office	Response
	whether the borrower is still eligible for the extension?		
674.38(c)	KK. Does the institution redetermine the date on which repayment commenced if the borrower demonstrates that for some or all of the period for which a deferment is requested, the borrower had retained in-school status or was within the initial grace period on the loan?	____________	yes___no___
	LL. Is the institution familiar with the cancellations applicable to each type of loan and to loans made between certain dates so as to ensure that the correct provisions are allowed to each borrower:		
674.61	1. Death or permanent and total disability?	____________	yes___no___
674.52(c)(3)	a. Is this cancellation granted without regard to repayment status?	____________	yes___no___
674.60	2. Volunteer service cancellation for Perkins loans?	____________	yes___no___
674.58 674.59(b)	3. Head Start or military service cancellation for Perkins and Direct Loans?	____________	yes___no___
674.53 674.56	4. Teacher or specified employment fields cancellation for Perkins and Direct Loans made on or after 7/23/92?	____________	yes___no___
674.54	5. Teacher cancellation for Perkins and Direct Loans made before 7/23/92?	____________	yes___no___
674.57	6. Law enforcement or corrections officer service cancellation for Perkins and Direct Loans made on/after 11/29/90?	____________	yes___no___
674.55 674.59(a)	7. Teacher or military service cancellation for Defense loans?	____________	yes___no___
674.52(a) 674.62	MM. Does the institution require written requests and adequate written documentation for loan cancellation, and does it ensure that it grants no cancellation for service performed prior to the disbursement of the loan or during the award period of the loan?	____________	yes___no___

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Reference	Question	Responsible Office	Response
674.39	NN. For loans made prior to 7/1/93, does the institution comply with required temporary postponement of loan repayment in anticipation of cancellation?	____________	yes___no___
674.33(d)	OO. Does the institution grant forbearance upon receipt of a written request and proper supporting documentation, when:		
	▸ the borrower's monthly repayment obligation on Title IV loans is collectively equal to or greater than 20% of his/her total monthly gross income; or	____________	yes___no___
	▸ the institution determines that poor health or other acceptable reasons qualify the borrower; or	____________	yes___no___
	▸ ED authorizes a period of forbearance due to a national military mobilization or other national emergency?	____________	yes___no___
674.33(d)(2)	1. Is the forbearance limited to no more than 12 months, renewable for periods that collectively do not exceed 3 years?	____________	yes___no___
674.48(b); 1996-97 FSFA Handbook, p. 6-82	PP. If an outside billing agency is used, does the institution retain responsibility for decisions regarding cancellation, postponement, deferment, extension of repayment periods, and forbearance?	____________	yes___no___
674.31(b)(8) 674.38(a)(2) 674.52(c)	QQ. Does the institution know when it may accelerate a loan, and does it understand and enforce the effects of accelerating a defaulted loan on cancellation?	____________	yes___no___
674.43(e)(1)	1. If the institution accelerates a loan, does it provide the borrower:	____________	yes___no___
	▸ written notice at least 30 days before the effective date of acceleration; and		
	▸ written notice on or after the effective date, giving the date on which it accelerated the loan and the total amount due?		
	RR. Are optional minimum payment provisions exercised if the loan note includes them?	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
674.33(b)(1)	1. Does the institution or its billing service understand that interest is included in, not in addition to, minimum monthly repayment amounts?	____________	yes___no___
674.33(b)(4); 1996-97 FSFA Handbook, pp. 6-27 - 6-29	2. Does the institution understand how to exercise minimum repayment provisions when a borrower's loans carry different grace periods, deferment provisions, or interest rates?	____________	yes___no___
674.33(b)(2)	3. Does the institution understand minimum monthly repayment criteria if a borrower has loans from more than one institution?	____________	yes___no___
1996-97 FSFA Handbook, p. 6-28	a. If a borrower contacts the institution with information about Perkins/Direct/Defense loans from other schools, does the institution contact the other schools to negotiate the amount each should receive?	____________	yes___no___
674.42(b)(1)(i) 674.42(b)(2)	SS. For loans with an initial grace period of nine months, does the institution contact the borrower at least three times before the first repayment is due, at 90, 150, and 240 days into the grace period?	____________	yes___no___
674.42(b)(1)(ii) 674.42(b)(2)	TT. For loans with six-month grace periods, does the institution contact a borrower at least twice before the first repayment is due, at 90 and 150 days into the grace period?	____________	yes___no___
674.33(a)(4)	UU. Does the institution apply payments in the following order: (1) collection costs; (2) late charges; (3) accrued interest; (4) principal?	____________	yes___no___
674.48(b)	VV. If an outside billing agency is used, does the institution understand that it remains responsible for compliance with due diligence requirements, other billing and collection matters, and fund safeguarding?	____________	yes___no___
	WW. Is the institution in compliance with the following billing procedures:		

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Reference	**Question**	**Responsible Office**	**Response**
	1. Does the institution send to the borrower at least 30 days before the first payment is due, one of the following:	_____________	yes___no___
674.43(a)(1)	▸ coupons, if the institution uses a coupon payment system; or		
674.43(a)(2)(i)	▸ a written notice giving the name and address of the party to which payments are to be sent and a statement of account?		
674.43(a)(2)(ii)	2. If the institution does not use a coupons, does it send a statement of account:	_____________	yes___no___
	▸ at least 15 days prior to the due date of each subsequent payment, or		
	▸ if the borrower elects to pay by EFT from a bank account, annually?		
674.43(b)(1)	3. Does the institution send a first overdue notice within 15 days after a missed due date if it has not received a request for deferment, postponement, or cancellation?	_____________	yes___no___
674.43(c)(1)	4. Does the institution, within 30 days after the first notice, send a second overdue notice if the borrower does not respond satisfactorily to the first?	_____________	yes___no___
674.43(c)(2)	5. If the student does not respond satisfactorily, does the institution send a final demand letter within 15 days of the second overdue notice?	_____________	yes___no___
674.43(d)	a. Is the institution aware that it may send a final demand letter within 15 days after a missed payment if the borrower's repayment history has been unsatisfactory, or if the institution reasonably concludes that the borrower intends neither to repay the loan nor to seek deferment, postponement or cancellation?	_____________	yes___no___
674.43(f)	6. If the borrower does not respond to the final demand letter within 30 days, does the institution attempt to contact the	_____________	yes___no___

Reference	Question	Responsible Office	Response
	borrower by telephone before beginning collection procedures?		
1996-97 FSFA Handbook, p. 6-72	7. If the borrower does not respond satisfactorily to the final demand letter, does the institution exercise due diligence in pursuing recovery from any endorser (for loans made prior to July 23, 1992)?	____________	yes___no___
674.31(b)(5) 674.43(b)(2)	8. Does the institution impose a late (or penalty) charge where the promissory note provides for one?	____________	yes___no___
674.31(b)(5)(ii)(B) 674.43(b)(3)-(5)	a. Are late charges calculated in accordance with regulations?	____________	yes___no___
674.43(b)(6)	b. Does the institution advise the borrower as to the amount of the late charge and how it will be collected?	____________	yes___no___
674.47(c)	c. Is the institution aware that it *must* impose *late* charges on loans made on/after 1/1/86, but may waive late charges if the borrower repays the full amount of past-due payments?	____________	yes___no___
674.44(a)	XX. If mail is returned undelivered, does the institution conduct the address search required by regulation, including reviews of institutional records and telephone directories, and inquiries of information operators?	____________	yes___no___
674.44(a)(3); 1996-97 FSFA Handbook, p. 6-73	1. If the institution uses the ED/Internal Revenue Service's skiptracing service when the normal address search measures are unsuccessful, does it annually submit a Safeguard Activity Report?	____________	yes___no___ n/a_____
674.44(b)	2. If the institution's address search does not yield results, does it use a commercial skiptracing service, or its own personnel using commonly accepted commercial skiptracing practices?	____________	yes___no___
674.44(d)	3. Does the institution make reasonable attempts to locate the borrower at least twice a year until the loan is recovered through litigation, assigned to ED, or written off as allowed by regulation?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
674.45(a)	YY. If a loan cannot be collected by regular billing procedures, does the institution initiate regulatory collection procedures if the borrower has not responded satisfactorily to the final demand letter or telephone contact:		
674.45(a)(1)	1. Does the institution report the default to a national credit bureau?	____________	yes___no___
674.45(b)	a. Does the institution report changes in account status to the credit bureau to which it reported the default? *NOTE: It is NASFAA's understanding that if an institution has contracted with a different credit bureau, the institution may comply with this requirement by notifying the credit bureau with which it currently has a contract.*	____________	yes___no___
674.45(b)	b. Does the institution respond within one month to any inquiries it receives from a credit bureau regarding the information reported on the loan amount?	____________	yes___no___
674.45(a)(2)	2. Does the institution either use its own personnel to collect the amount due or engage a collection firm?	____________	yes___no___
674.45(c)(1)	a. If, within 12 months, the loan has not been converted to regular repayment status or been deferred, postponed, or cancelled, does the institution either: ▸ litigate; ▸ place the account with a collection firm for 12 months if it has been using its own personnel, or, if it initially used a collection firm, either use its own personnel or place the account with a different collection firm for 12 months; or ▸ assign the loan to ED?	____________	yes___no___

Reference	Question	Responsible Office	Response
674.45(d)	b. If the loan has not been converted to regular repayment status or been deferred, postponed, or cancelled after the further 12 months described above, does the institution continue to make annual collection attempts until the loan has been recovered through litigation, assigned to ED, or written off as allowed by regulation?	____________	yes___no___
674.46(a)	3. If collection attempts are unsuccessful, does the institution determine at least annually whether it must sue the borrower under due diligence regulations?	____________	yes___no___
674.47(f)	4. Does the institution properly document all collection costs charged to its Perkins Fund?	____________	yes___no___
674.45(e)(2) 674.46(b)	5. Does the institution properly assess all collection and litigation costs and attempt to recover the costs from the borrower?	____________	yes___no___
674.47(d),(e)	a. Does the institution understand the circumstances under which it may waive collection costs and the limitations on charging waived costs to its Perkins Fund?	____________	yes___no___
674.45(e)(3)	b. Does the institution reimburse its Perkins Fund with monies recovered from a borrower for collection costs?	____________	yes___no___
674.50(h)	6. If the institution assigns a defaulted loan to ED, does it consider the borrower to be in default for Title IV eligibility purposes until ED confirms satisfactory arrangements to repay the loan?	____________	yes___no___
674.50	a. Does the institution maintain adequate documentation to assign defaulted loans to ED?	____________	yes___no___
674.47(g)(1)	7. Does the institution realize that it may cease collection activity on defaulted accounts with balances of less than $25 (including principal, interest, late charges, and collection costs), provided regulatory billing procedures had been followed?	____________	yes___no___

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Reference	Question	Responsible Office	Response
1996-97 FSFA Handbook, p. 6-76	a. Does the institution continue to consider the borrower to be in default and to include the loan in its default rate?	____________	yes___no___
674.47(g)(2)	8. Does the institution realize that it may cease collection activity on a defaulted account with a balance of less than $200 (including principal, interest, late charges, and collection costs) on which the regulatory due diligence procedures have been carried out, if, for at least 4 years, the borrower has not: made a payment on the account, converted the account to regular repayment status, or applied for a deferment, postponement, or cancellation?	____________	yes___no___
1996-97 FSFA Handbook, p. 6-76	a. Does the institution continue to consider the borrower to be in default and to include the loan in its default rate?	____________	yes___no___
674.47(h)	9. Does the institution realize that it may write off balances of less than $5 (including principal, interest, late charges, and collection costs), provided it no longer includes that balance as an asset of its Perkins Fund?	____________	yes___no___
FR, 12/1/95, p. 61807	a. Does the institution treat that account as paid-in-full with no adverse effect on the borrower or on the institution's default rate?	____________	yes___no___
674.49	10. Does the institution suspend all collection efforts as soon as it receives notice that a bankruptcy petition has been filed, and otherwise follow regulations governing treatment of petitions for bankruptcy and notices of discharge?	____________	yes___no___
674.5(e)(2)	ZZ. If a defaulted borrower repays the defaulted loan in full, or executes a new repayment agreement and makes 12 consecutive monthly payments, does the institution report the rehabilitation within 30 days to any national credit bureau?	____________	yes___no___
674.33(e)	AAA. Does the institution compromise on the repayment of a defaulted loan only if the	____________	yes___no___

Reference	Question	Responsible Office	Response
	institution has fully complied with all due diligence requirements and the borrower pays 90% of the outstanding principal balance plus the interest due plus any collection fees in a lump-sum payment?		
674.8(b) 674.47 ●674.18(b)(4),(c) ✦674.18(b) ✦673.7(e)	BBB. Does the institution use monies from the Federal Perkins Loan Fund only for the purposes listed below? ▸ Making loans to students. ▸ Administrative expenses, including student consumer information services. ▸ Litigation costs. ▸ Other collection costs approved by ED. ▸ Repayment of short-term no-interest loans made to the Fund by the institution anticipating collections or receipt of FCC. ▸ Transferring funds (up to 25% of its total allocation) to FWS and/or FSEOG for use according to the requirements of the program to which they are transferred.	______________	yes___no___
●674.18(c)(5) ✦674.18(b)(5)	1. Does the institution transfer back to the Federal Perkins Loan program any funds unexpended at the end of the award year that it transferred to the FWS programs or to the FSEOG program?	______________	yes___no___
674.8(a)	CCC. Does the institution deposit into its Federal Perkins Loan Fund: FCC, ICC, payments of principal, interest, late charges, penalty charges, collection costs, loan cancellation payments, any other earnings on the Fund (including interest net of bank charges), and proceeds of short-term, no-interest loans made in anticipation of collections or FCC?	______________	yes___no___
674.19(c)	1. Is the institutional matching contribution portion deposited into its Fund prior to or at the same time it deposits any Federal capital contribution (FCC) is deposited according to the following match requirements?	______________	yes___no___
674.8(a)(2)(ii)	ICC = 1/3 of the FCC for non-ELO institutions; or		

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Reference	**Question**	**Responsible Office**	**Response**
674.7(a)(1)	ICC = 100% of the FCC for institutions participating in the ELO		
674.19(e)(2)	DDD. Does the institution maintain a repayment history for each borrower which shows: ▸ the date and amount of each repayment; ▸ how much of each repayment is credited to principal and interest, late or penalty charges, and collection costs; and ▸ the date, nature and result of each contact with the borrower; copies of all non-routine correspondence to or from the borrower?	______________	yes___no___
General Provisions Act, sec. 443(a), as amended by P.L. 103-382; ◆674.19(e)(3)	1. Does the institution retain repayment records, including cancellation and deferment requests, for at least three years from the date on which a loan is assigned, canceled or repaid?	______________	yes___no___
674.19(e)(4)(iii)	EEE. Once the loan is repaid, does the institution return the original notes marked "paid in full" to the borrower?	______________	yes___no___
674.19(e)(4)(ii)	FFF. Does the institution retain certified true copies of documents released for loan enforcement?	______________	yes___no___
674.8(c)	GGG. Does the institution submit to ED an annual report showing the total number of loans made from its Fund which are in default (part of the FISAP)?	______________	yes___no___

Other Recommended Good Practices for the Administration of the Federal Perkins Loan Program

Practice	**Comments**
1. One institutional administrator or officer should be charged with the responsibility for supervising loan collections and closely monitoring routine loan collection steps.	
2. The loan application and exit interview forms should contain adequate "tracer" questions to facilitate contacting the borrower after he or she leaves the institution.	

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Reference	Question	Responsible Office	Response
	3. Documentation that exit counseling of borrowers has taken place should be maintained in the student's file.		
	4. If exit interview information and forms are mailed to a borrower who left the institution without an exit interview, the institution should use registered or certified mail with a receipt requested to document the student's file in case the student does not respond.		
	5. The institution should develop a means of verifying the total cumulative amount a student may have borrowed under the Federal Perkins Loan Program.		
	6. The institution should set up procedures to follow whenever a notice is received of a bankruptcy petition filed by a Federal Perkins Loan borrower. The procedures should be approved by legal counsel and should assure that the institution take appropriate prompt action.		
	7. Institutional procedures should be developed to ensure that financial aid transcripts for a student whose notes have been assigned to the Department indicate the student is in default.		
	8. Written procedures should be developed and followed to make sure that the institution is carrying out due diligence in the collection process.		
	9. The institution should establish procedures for updating personal information about borrowers to facilitate collection activities at a later date.		

Comments on the Administration of the Federal Perkins Loan Program_________________________

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V. Federal Work Study (FWS) Program

Prepared by_____ Date_____
Reviewed by_____ Date_____

Reference	Question	Responsible Office	Response
675.8(c) 675.10(a)	A. Does the institution make FWS employment reasonably available, to the extent of available funds, to all eligible students?	____________	yes___no___
675.8(d)	1. Does the institution make any equivalent employment it offers or arranges reasonably available, to the extent of available funds, to all students who want to work?	____________	yes___no___ n/a___
675.8(e)	B. To the maximum extent practicable, do FWS positions complement and reinforce educational programs or goals of students?	____________	yes___no___
675.8(g)	C. Are all eligible students informed of the opportunity to perform community service?	____________	yes___no___
	1. Has the institution identified community-service opportunities through consultation with local nonprofit, governmental and community-based organizations?	____________	yes___no___
675.18(h)	D. Does the institution use at least 5% of the sum of its initial and supplemental FWS allocations for an award year to compensate students employed in community service activities?	____________	yes___no___
675.2(b); 1996-97 FSFA Handbook, p. 7-28	1. Does the institution classify jobs as community service according to regulatory definitions?	____________	yes___no___
	E. Does the institution ensure that FWS students only work for eligible employers performing FWS-eligible work?	____________	yes___no___
675.22(a) 675.20(c)(2)(v)	1. If the student is employed by a private nonprofit organization or by a Federal, State, or local public agency (other than the U.S. Department of Education, which is not an eligible employer), is the work performed by the student in the public interest (i.e., for the national or community welfare)?	____________	yes___no___ n/a___
675.22(b)(1)	a. Does the institution ensure that FWS work does not primarily benefit members of a limited membership organization (e.g., credit union, fraternal/religious order, cooperative)?	____________	yes___no___

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FEDERAL WORK STUDY

Reference	Question	Responsible Office	Response
675.22(b)(3),(5), (6)	b. Does the institution ensure that FWS work does not involve: ▸ work as a political aide; ▸ partisan or non-partisan political activity; ▸ association with a faction in an election for public office; or ▸ lobbying?	____________	yes___no___
675.22(b)(2); 1996-97 FSFA Handbook, p. 7-25	c. Is FWS work for elected officials limited to non-political work for officials responsible for the *regular administration* of Federal, State, or local government?	____________	yes___no___
675.22(b)(4)	d. Does the institution ensure that a student's political support or party affiliation is not taken into account in hiring him or her?	____________	yes___no___
675.21(b)	2. If a proprietary school student is employed by the proprietary institution, are students placed either: ▸ on-campus in jobs that furnish student services and do not involve solicitation of other potential students to enroll; or ▸ in community service?	____________	yes___no___ n/a___
675.23(b)(1)	3. If a student is employed in a private, for-profit organization, is the work restricted to jobs that are academically relevant to the student's educational program?	____________	yes___no___ n/a___
675.23(b)(2)(ii)	a. Does the institution ensure that FWS funds are not used to pay an employee who would otherwise be employed by that organization?	____________	yes___no___ n/a___
675.20(b)(1); 1996-97 FSFA Handbook, p. 7-26	F. Does the institution maintain a written agreement with each off-campus agency, organization, or company that employs its Federal Work Study students?	____________	yes___no___ n/a___
675.20(b)(2)	1. Does the institution enter into off-campus agreements only with agencies or organizations that have professional direction and staff?	____________	yes___no___ n/a___

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FEDERAL WORK STUDY

Reference	Question	Responsible Office	Response
675.20(b)(1)	2. Does the agreement specify who will pay the student?	____________	yes___no___
675.23(b)(2)	a. Does the agreement with a for-profit organization require the for-profit organization to pay the non-federal share of student earnings?	____________	yes___no___ n/a___
675.20(c)(2)(i), (ii),(iii)	G. Does the institution ensure that FWS work for any employer does not impair existing contracts or displace regular employees or fill jobs that are vacant because of a strike?	____________	yes___no___
675.20(c)(1)	H. Is FWS work (regardless of employer) governed by employment conditions, including pay, that are appropriate and reasonable in terms of type of work, geographical region, employee proficiency and any applicable federal, state or local law?	____________	yes___no___
675.20(c)(2)(iv)	I. Does the institution ensure that FWS work does not involve the construction, operation or maintenance of any part of a facility used for religious worship or sectarian instruction?	____________	yes___no___
675.25(a)	J. Are attributed earnings to be applied to the cost of attendance determined by subtracting taxes and job related costs from earnings?	____________	yes___no___
675.25(b)	1. For a student employed under FWS during a period of non-enrollment (e.g. summer), are attributed earnings applied to the cost of attendance for the next period of enrollment?	____________	yes___no___
	K. In establishing wage rates:		
675.24(a)(1)	1. Is compensation for undergraduate students computed only on an hourly basis for actual time on the job?	____________	yes___no___
675.24(a)(2)	2. Are fringe benefits excluded from the wage rate?	____________	yes___no___
675.24(a)(3)	3. Is the institution aware that it may pay graduate students a salary or hourly wages, in accordance with its usual practices?	____________	yes___no___
675.24(b); DCL CB-96-23	4. Are minimum hourly wage rates under the Fair Labor Standards Act enforced?	____________	yes___no___

Reference	Question	Responsible Office	Response
	L. With respect to payment of FWS funds to students, does the institution:		
675.16(a)(1)(i)	1. provide payment to each FWS employee at least once a month, with the federal share of each payment (at least) paid to the student by check or similar instrument that the student can cash on his or her own endorsement?	____________	yes___no___
675.16(b)(1)	2. if the institutional share of wages is paid by check, pay the student its share at the same time it pays the Federal share?	____________	yes___no___
675.16(b)(2)	3. if the institutional share of wages is paid in the form of tuition, fees, services, or equipment, pay that share before the student's final payroll period?	____________	yes___no___
675.16(b)(3)	4. if the institution pays its FWS matching share in the form of prepaid tuition, fees, supplies or equipment for a forthcoming academic period, give the student a statement before the close of his or her final payroll period listing the amounts earned for those items?	____________	yes___no___
675.16(a)(1)(ii)	5. ensure that no portion of the Federal share of a student's wages is directly transferred to the student's institutional account?	____________	yes___no___
675.16(d)	6. refrain from obtaining a student's power of attorney to authorize any disbursement of funds without prior approval from the Department of Education?	____________	yes___no___
675.16(c)	7. require correspondence students to submit their first completed lesson before receiving payment?	____________	yes___no___ n/a___
	8. if required, withhold Federal, State or local income taxes, Social Security, or other charges from student salaries, in accordance with applicable tax laws and regulations?	____________	yes___no___
675.23(b)(3)(ii)	M. Does the institution ensure that students working for an off-campus employer are properly supervised?	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
675.16(a)(2)	N. Does the institution assume responsibility for ensuring that students employed off-campus are paid for work performed, even if the off-campus agency or organization is considered to be the employer?	____________	yes___no___ n/a___
675.26(a)(3)	O. Does the institution ensure that FWS funds are not used to pay a student after he or she has, in addition to other resources, earned $300 or more over his or her financial need?	____________	yes___no___
	P. Does the institution maintain program and fiscal records that:		
675.19(b)(2)(i)	1. include a certification, signed by the student's supervisor (an official of the institution or off-campus agency), that each student has worked and earned the amount being paid?	____________	yes___no___
	a. Does the certification include or is it supported by a time record (either in clock hour sequence or showing the total hours worked per day) for students paid on an hourly basis?	____________	yes___no___
675.19(b)(2)(ii)	2. include a payroll voucher containing sufficient information to support all payroll disbursements?	____________	yes___no___
675.19(b)(2)(iii)	3. include a non-cash contribution record to document any payment of the institution's share of the student's earnings in the form of services and equipment?	____________	yes___no___
675.20(b)(3)(i); 1996-97 FSFA Handbook, p. 7-27	Q. If an off-campus employer has payroll responsibility, does the institution ensure that payment is properly documented by keeping copies of time sheets and payroll vouchers and evidence that the students were actually paid (usually a copy of the cancelled check or a receipt signed by the student)?	____________	yes___no___
675.26	R. Does the institution ensure that the federal share of FWS compensation does not exceed the following allowable percentages:		
675.26(a)(2)	1. For students employed *by a for-profit organization*: 50%?	____________	yes___no___ n/a___

Items marked ● applied to 1996-97 but not to subsequent years.
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Reference	**Question**	**Responsible Office**	**Response**
675.23(b)(2)(i)	a. Does the institution require a for-profit institution to pay the matching share?	____________	yes___no___
675.26(a)(1)	2. For students employed *other than by a for-profit organization* (i.e., students employed by the institution itself, or in a federal, state, or local agency, or in a private nonprofit organization): 75%?	____________	yes___no___
675.26(b)	3. When determining the Federal share of FWS, does the institution exclude fringe benefits and the employer's share of any welfare or insurance programs (such as Social Security or worker's compensation)?	____________	yes___no___
668.26(d)	S. Does the institution only authorize a federal share of 100% of the compensation earned by a student to be paid in the following situations:		
668.26(d)(1)	1. The work performed by the student is for the institution itself, for a Federal, State or local public agency, or for a private nonprofit organization; and the student is enrolled at an institution designated as eligible under the Strengthening Institutions program, the Strengthening Historically Black Colleges and Universities, or the Strengthening Historically Black Graduate Institutions program; and the institution has requested a waiver of the matching requirements?	____________	yes___no___
✦668.26(d)(2)	2. ✦The student is employed as a reading tutor for children who are in preschool through elementary school?	____________	yes___no___
675.26(c)	T. If the institution receives more funds under an off-campus agreement than is required for non-federal share of wages, employer costs, and administrative costs, are the excess funds: ▸ used to reduce the Federal share; ▸ held in trust for the next year's off-campus employment; or ▸ refunded to the off-campus employer?	____________	yes___no___
●675.18(f) ✦675.18(e)	U. Does the institution observe the 25% limit on the amount of its total FWS allocation that it may transfer to FSEOG?	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	1. Are transfers reported on the institution's Fiscal Operations Report?	______________	yes___no___
	2. Are transferred funds used according to the requirements of the FSEOG Program?	______________	yes___no___
●675.18(c),(d) ✦675.18(b),(c)	V. Does the institution observe the 10% limits on funds carried forward and back?	______________	yes___no___
●675.18(c)(2) ✦675.18(b)(2)	1. Does the institution spend any funds that were carried forward before it spends its current year allocation?	______________	yes___no___
1996-97 FSFA Handbook, p. 7-35	2. Does the institution ensure that carried-forward or carried-back funds are not transferred to FSEOG, or used for the federal share of wages in private for-profit sector jobs, or job location and development programs?	______________	yes___no___
●675.18(g) ✦675.18(f)	W. Is the institution aware that, separate from the 10% carry-back, it may pay FWS wages earned on or after May 15 but prior to the beginning of the next award year from the succeeding year's allocation?	______________	yes___no___
675.23(a)	X. Is the limit of 25% of the institution's total allocation observed for jobs in private, for-profit organizations?	______________	yes___no___
	Y. If the institution is participating in a Job Location and Development (JLD) Program:		
675.35(a)	1. Does it have a signed agreement with the Secretary of Education?	______________	yes___no___
675.35(a)(3)(i)	2. Does it comply with the prohibition against locating and developing jobs at the institution under the JLD program?	______________	yes___no___
675.35(b)(3)(ii)	3. Are the jobs located and developed with these funds available only to students during and between periods of attendance at the institution, and not upon graduation?	______________	yes___no___
675.32	4. Does the institution limit JLD expenditures from FWS funds to 10% of its total allocation or $50,000, whichever is less?	______________	yes___no___
675.35(b)(3)(iii)	5. Has the institution taken steps to ensure	______________	yes___no___

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Reference	Question			Responsible Office	Response
			that the Job Location and Development Program will not displace employees or impair existing contracts for services?		
675.35(b)(3)(iv)		6.	Are the program funds expended realistically expected to generate more in total student wages than is spent under the program?	____________	yes___no___
675.35(b)(3)(v)		7.	If the institution uses Federal funds to contract with another organization, are suitable performance standards part of the contract?	____________	yes___no___
675.36		8.	Are procedures and records established in accordance with FWS program regulations governing fiscal procedures and records?	____________	yes___no___
675.33(b)		9.	Does the institution use FWS funds for no more than 80% of allowable JLD costs?	____________	yes___no___
			a. Does the institution restrict allowable costs to costs reasonably related to carrying out the JLD program, excluding any costs related to the purchase, construction, or alteration of physical facilities and indirect administrative costs?	____________	yes___no___
675.33(c)		10.	Does the institution keep records documenting the amount and source of its share of allowable costs (whether in cash or in the form of services)?	____________	yes___no___
	Z.		If the institution wishes to expend funds under a Work-Colleges program, has the institution:		
675.41(a)		1.	operated a comprehensive work-learning program for at least two years; and	____________	yes___no___
		2.	adhered to the requirements governing work-colleges contained in subpart C of the FWS regulations?	____________	yes___no___
675.18(a)	AA.		Does the institution use its FWS funds only to:		
		1.	pay the Federal share of FWS wages;	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	2. carry out administrative activities, including student consumer information services;	____________	yes___no___
	3. meet the cost of a Job Location and Development program;	____________	yes___no___
	4. meet the cost of a Work-Colleges program;		
	5. transfer funds to its FSEOG Program?	____________	yes___no___
	BB. Is the institution in compliance with Immigration and Naturalization Service (INS) verification requirements for employment eligibility, including the I-9?	____________	yes___no___

Comments on the Administration of the Federal Work Study Program____________________

Comments (Cont'd)____

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Other Recommended Good Practices for the Administration of the FWS Program

Practice

Comments

1. The institution should suit FWS employment to the scheduling and other needs of students.

2. Each supervisor should receive written student employment procedures outlining the program purposes and regulations and the supervisor's responsibilities regarding the FWS program.

3. All job referrals and confirmations should be made in writing showing the title, duties, hourly wage rate and any special conditions of employment.

4. It should be suggested to the employer and the student that the student's award and number of hours per week of employment be pro-rated over the period covered by the award.

5. The institutions may wish to use a variable wage scale to recognize prior experience and level of skill required.

6. Each FWS employee must be compensated for all hours worked; the Fair Labor Standards Act prohibits employers from accepting voluntary services from any paid employee.

7. Periodic visits should be made to each off-campus employer.

8. Both the student and the supervisor should be notified before the student's award expires.

9. FWS employment should be terminated when such action is appropriate (i.e., unsatisfactory performance, repeated absences, insubordination) and the student should be counseled regarding such action.

10. FWS supervisors should be provided a copy of the Students' Rights and Responsibilities regarding Financial Aid.

11. Job descriptions should be maintained for all FWS positions. Job descriptions should include:
    - a. name and address of the employer (department, public agency, non-profit organization)
    - b. purpose of job
    - c. duties and responsibilities
    - d. job qualifications
    - e. wage rate and range
    - f. length of employment (beginning and ending dates)
    - g. name of supervisor

12. The institution should develop procedures to ensure that only students who will be enrolling in the subsequent period of enrollment may be allowed to work under FWS during a period on non-enrollment.

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Comments on the Administration of the Federal Work Study Program ____________________

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VI. Federal Supplemental Educational Opportunity Grant (FSEOG)

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
676.9(b) 676.2	A. Is FSEOG awarded only to undergraduate students who have not yet earned a baccalaureate or first professional degree?	____________	yes___no___
676.10(a); DCL CB-91-8	B. Does the institution observe the required priority order for awarding FSEOG, awarding first to students with the lowest Expected Family Contributions (EFC), who will also receive Federal Pell Grants; and, if FSEOG funds are still available after awarding to all its eligible Federal Pell Grant recipients, next to those eligible students with the lowest EFCs who will not receive Federal Pell Grants?	____________	yes___no___
676.20(a)(1),(b)	C. Is a minimum award of $100 per academic year observed, unless the institution reduces the minimum proportionately for students enrolled less than a full academic year?	____________	yes___no___
676.20(a)(2),(c)	D. Is the maximum limit of $4,000 (or $4,400 if reasonable costs for a program of study abroad exceed the cost of attendance at the home institution) per academic year observed for FSEOG awards?	____________	yes___no___
676.16(a),(b),●(f), ✦(e)	E. Are FSEOG awards disbursed in equal installments each payment period during the award year unless unequal costs are incurred among terms, or unless the total awarded under FSEOG is less than $501?	____________	yes___no___
●676.16(g) ✦676.16(f)	F. Are correspondence students required to submit their first lessons before receiving an FSEOG payment?	____________	yes___no___ n/a___
●676.16(e)(2)(i) ✦668.164(g)(2)(ii)(E)	G. If the institution chooses to disburse FSEOG funds to a student after he/she has ceased to be enrolled, does it ensure that late disbursements are made only if the FSEOG was awarded to the student while the student was still eligible?	____________	yes___no___ n/a___
●676.16(e)(2)(ii) ✦668.164(g)(3)(i)	1. Is the amount of the late disbursement limited to documented educational costs normally included in the COA for the payment period for which the FSEOG was intended and the student was enrolled?	____________	yes___no___ n/a___
●676.16(e)(3)	2. Is the reason for the late disbursement documented in the student's file?	____________	yes___no___ n/a___

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Reference	Question	Responsible Office	Response
676.16(d)	H. Does the institution return to the FSEOG account any funds paid to a student who withdraws or is expelled before the first day of classes?	____________	yes___no___ n/a___
	1. Does the institution regard a student who did not begin class attendance as having withdrawn?	____________	yes___no___ n/a___
676.18(a),●(b)(4); ✦673.7(e)	I. Are FSEOG funds used only for the purposes of making payments to eligible students and for allowable administrative expenses including student consumer information services?	____________	yes___no___
●676.18(c) ✦668.7(b)	J. Does the institution transfer back to the FWS or Federal Perkins Loan programs at the end of the award year any unexpended funds that had been transferred into FSEOG?	____________	yes___no___
676.21(a),(b)	K. Does the institution observe the Federal share limitation (75% unless otherwise authorized by the Department of Education)?	____________	yes___no___
676.21(c)	1. Does the non-federal share of FSEOG awards come from the institution's own resources, including institutional grants and scholarships, tuition or fee waivers, state scholarships (except SSIG funds), and foundation or other charitable organization funds?	____________	yes___no___
676.14(d)	L. If the student fails to repay an overpayment on which the Federal share is $25 or more and the overpayment is one for which the institution is not liable, does the institution refer the overpayment to the Department of Education?	____________	yes___no___

Comments on the Administration of the FSEOG Program ______________________________

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

VII. Federal Family Education Loan (FFEL) Program

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
668.16(m) 668.17(a),(b); ● DCL P-96-3	A. Does the institution understand the impact of its FFEL cohort default rate on institutional eligibility to participate in:		
	1. the FFEL Program?	_____________	yes___no___
	2. all Title IV programs?	_____________	yes___no___
682.603(g)	B. Does the institution understand that it may not assess a fee for completing or certifying any FFEL form or information, or for providing information necessary to receive a FFEL Loan or any benefits associated with a FFEL Loan?	_____________	yes___no___
682.201(a) 668.32(a)(2)	C. Does the institution certify a loan only if the student will be enrolled at least half-time?	_____________	yes___no___
	D. Does the institution hold as *ineligible* for FFEL Loans students who:		
668.32(c)(2)(i)	1. are incarcerated?	_____________	yes___no___
682.201(a)(7); 1996-97 FSFA Handbook, p. 10-9	2. are serving in a medical internship or residency program (other than dentistry), unless it is part of the degree program?	_____________	yes___no___ n/a___
682.201(a)(5)	E. Is the institution aware that if a borrower's previous FFEL Loan was canceled due to total permanent disability, the borrower:	_____________	yes___no___
	▸ must obtain a physician's certification that he/she is able to engage in substantial gainful activity; and		
	▸ must waive future cancellation based on the disability unless it substantially deteriorates?		
682.201(a),(b)	F. In the case of a Federal PLUS loan, does the institution ensure that both the parent and student for whom the parent is borrowing meet eligibility requirements?	_____________	yes___no___
668.2, Parent 682.201(b)(2)	1. Does the institution understand the definition of parent, and realize that a stepparent is an eligible PLUS borrower if his/her income and assets would have been taken into account when calculating the student's expected family contribution, even	_____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	if the stepparent is not a legal guardian or adoptive parent?		
682.201(a)(8); 1996-97 FSFA Handbook, p. 10-78	G. Does the institution have in place a means of determining Federal Pell Grant eligibility or ineligibility and ensuring that eligible students apply for the Federal Pell Grant prior to certifying a Federal Stafford application?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-38	H. Does the institution document the exceptional circumstances leading to a professional judgment allowing a dependent undergraduate to borrow under the additional unsubsidized loan limit?	____________	yes___no___
682.201(a)(3)	1. Does the institution recognize that a parent's refusal to borrow a PLUS loan does not constitute an exceptional circumstance?	____________	yes___no___
682.603(e)	I. Does the institution document, and provide in writing to the borrower, its reasons for declining to certify a FFEL Loan, or for reducing the amount of the loan?	____________	yes___no___
682.603(e)(1)	1. Does the institution make such judgments only on a case-by-case basis?	____________	yes___no___
682.603(e)(2)	2. Is the documentation supporting such a decision retained in the student's file?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-73	3. Does the institution realize it may decline to certify a loan it believes the student is unwilling to repay?	____________	yes___no___
682.603(e)(3)	4. In exercising this discretion, does the institution ensure that it does not engage in any discriminatory practice based on the borrower's race, sex, color, religion, national origin, age, handicapped status, income, or selection of a particular lender or guaranty agency?	____________	yes___no___
HEA, 483(a)(1); 682.401(b)(5)	J. Does the institution require that the borrower clearly indicate a choice of lender?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-11	K. Does the institution determine the amount of a student's subsidized Stafford loan eligibility before certifying an unsubsidized amount?	____________	yes___no___

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Reference	Question	Responsible Office	Response
1996-97 FSFA Handbook, p. 10-11	1. If the student's subsidized eligibility is at least $200, does the institution include that amount in determining the student's eligibility for the unsubsidized loan?	____________	yes___no___
682.603(b)(3) 682.200(b), Estimated financial assistance, (1)	L. Has the institution established procedures to calculate accurately the assistance the student *will receive* from Federal, State, institutional or other sources, such as scholarships, grants, loans, and need-based employment, including but not limited to Federal Pell Grant, campus-based funds, Veterans or other educational benefits, and ROTC?	____________	yes___no___
682.200(b), Estimated financial assistance, (2)	1. Does the institution ***exclude*** from estimated financial assistance:		
	• any amounts used to replace the expected family contribution from unsubsidized Federal Stafford, Direct Unsubsidized, PLUS, state-sponsored, or private loans?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-77	• any Federal Perkins or FWS awards that the student declined or for which the student did not apply?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-78	• for a PLUS application, the amount of unsubsidized Stafford loan for which a student would be eligible, if the parent is electing to borrow that amount instead of having the student borrowing it?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-74	M. For students charged "up front" for an entire program that is longer than an academic year, does the institution include all tuition/fee charges in the first academic year loan, and no tuition/fee charges for additional loans for that program?	____________	yes___no___
682.200(b), Period of enrollment	N. Does the institution certify loan periods that coincide with a bona fide academic term established by the school for which institutional charges are generally assessed (e.g., semester, trimester, quarter, length of the student's program or academic year)?	____________	yes___no___

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Reference	Question	Responsible Office	Response
682.603(f)(2)	1. Is the *maximum* period of enrollment for which a loan is certified the length of the academic year, except in cases where the guaranty agency permits a longer period of time (not to exceed 12 months)?	____________	yes___no___
682.603(f)(1)	2. Is the *minimum* period for which the institution certifies a loan a single academic term (e.g., a semester, trimester or quarter) or, for a clock hour or non-term program, the lesser of the length of the program or the length of the academic year? *Note: For a student who is in a clock hour or non-term program longer than an academic year, the institution may also certify a loan period that reflects the remaining portion of the program, even if that portion is less than an academic year.*	____________	yes___no___
682.603(d) 682.204(a),(c),(d),(k)	O. Are procedures in place to ensure that an application will not be certified for an amount that exceeds the lesser of the student's need (estimated cost of attendance minus estimated financial assistance, and, in the case of subsidized Stafford loans, minus the expected family contribution), or applicable annual loan limits?	____________	yes___no___
682.204(a),(c),(d) 682.603(f)(3)	P. Does the institution observe the reduced annual Federal Stafford Loan limits (subsidized and unsubsidized) for undergraduates enrolled in:		
	▸ a program that is less than a full academic year in length?	____________	yes___no___ n/a___
	▸ the final portion of a program longer than an academic year, if that portion is less than an academic year in length?	____________	yes___no___
682.603(f)(4)	1. Does the institution realize that it need not recalculate the amount of the loan if the number of hours for which an eligible student is enrolled changes after the school certifies the loan?	____________	yes___no___
1996-97 FSFA Handbook, Chapter 10, Appendix B	Q. Does the institution understand the requirements pertaining to the period to which annual loan limits apply, and when it may use a borrower-	____________	yes___no___

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Reference	Question		Responsible Office	Response
		based academic year versus a scheduled academic year to determine the frequency with which a given student may borrow?		
682.204(b),(e)	R.	Is a system in place to prevent certifying loans in excess of aggregate loan limits?	____________	yes___no___
682.204(b),(e)		1. Is the institution aware that dependent undergraduate borrowers are eligible to borrow $23,000 in combined subsidized and unsubsidized loan amounts?	____________	yes___no___
682.204(b),(e)		2. Is the institution aware that independent undergraduate students (or dependent undergraduates whose parents are not eligible to borrow PLUS) are eligible to borrow a total of $46,000 in Federal Stafford loans, of which up to $23,000 may be subsidized?	____________	yes___no___
682.204(b),(e)		3. Is the institution aware that graduate student borrowers are eligible to borrow a total of $138,500 in Federal Stafford loans (less any amounts borrowed as an undergraduate) of which up to $65,500 may be subsidized?	____________	yes___no___
682.204(b),(e)		4. Does the institution consider all amounts students have borrowed through the Federal Direct Stafford and Unsubsidized Stafford Loan programs, and the SLS program, when determining if aggregate loan limits have been reached?	____________	yes___no___
HEA, Section 428(d)(2); DCL GEN-96-14; "Dear Guaranty Agency Director" letter, 12/31/96 DCL GEN-97-4	S.	Does the institution limit borrowing in excess of Unsubsidized Stafford annual loan limits to health professions students who: ▸ are enrolled at an institution that disbursed HEAL loans between 10/1/94 and 9/30/95; ▸ have not previously borrowed a HEAL loan; and ▸ meet all HEAL program eligibility requirements, (including full-time enrollment beginning in loans certified on or after 5/1/97)?	____________	yes___no___ n/a___

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Reference	Question	Responsible Office	Response
	1. Does the institution only certify loans in excess of annual limits for loan periods beginning on or after 7/1/96?	____________	yes___no___ n/a___
	2. Does the institution limit the amount of supplementary borrowing to the amount students would be eligible to borrow under HEAL program loan limits?	____________	yes___no___ n/a___
	3. Is the institution aware that their has been no change to the aggregate borrowing limits for these students?	____________	yes___no___ n/a___
682.603(b)(5)	T. Does the institution establish a disbursement schedule (for Federal Stafford *and* Federal PLUS loans) consistent with program requirements and regulatory cash management rules?	____________	yes___no___
●682.603(h)	1. ●Does the institution request the lender to provide the first disbursement of loan funds which will be disbursed by EFT or master check, no earlier than: ▸ the 24th day of the student's period of enrollment for a borrower who is enrolled in the first year of an undergraduate program and who has not previously received a FFEL Loan; and ▸ the 13th day before the first day of the student's period of enrollment for all other borrowers?	____________	yes___no___
●682.207(c)(3)	2. ●For non-term programs, is the second disbursement requested no earlier than the mid-point of the loan period?	____________	yes___no___ n/a___
●682.207(c)(3)	3. ●For term programs, is the second disbursement requested no earlier than the mid-point of the loan period, unless the institution wants the disbursement to coincide with the beginning of the next semester, quarter, or similar division of enrollment?	____________	yes___no___ n/a___
✦668.167(a)(1)	4. ✦Does the institution request the lender	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	provide loan funds by EFT or master check no earlier than: ▸ 27 days after the first day of classes of the first payment period for a borrower who is enrolled in the first year of an undergraduate program and who has not previously received a Federal Stafford loan; and ▸ 13 days before the first day of classes for any subsequent payment period for a first year, first time Federal Stafford Loan program borrower, or for any payment period for all other borrowers?		
✦668.167(a)(2)	5. ✦ Does the institution request that the lender provide loan funds by check requiring the endorsement of the borrower no earlier than: ▸ the 1st day of classes of the first payment period for a borrower who is enrolled in the first year of an undergraduate program and who has not previously received a Federal Stafford loan; or ▸ 30 days before the first day of classes for any subsequent payment period for a first year, first time Federal Stafford Loan program borrower, or for any payment period for all other borrowers?	______________	yes___no___
✦668.4, payment period	U. ✦Does the institution apply the concepts of "payment periods" when requesting second or subsequent disbursements of loan proceeds?	______________	yes___no___
682.604(b)(2)(i)	V. Before delivering loan proceeds, does the institution determine that the student has continuously maintained eligibility from the beginning of the loan period certified by the school on the student's loan application, including making satisfactory academic progress and, except in the case of late disbursements, at least half-time enrollment?	______________	yes___no___
682.604(b)(2)(iv)	1. Is the institution aware that if a student temporarily ceases to be enrolled at least	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	half-time, but then resumes at least half-time enrollment, the student may receive the proceeds if he/she continues to qualify for the entire loan amount based on a reduced cost of attendance reflecting the reduced enrollment?		
682.604(b)(2)(ii) 682.604(d)(3)	2. Is the institution aware that it may consider a student to have maintained eligibility, even if he/she delays attendance for up to the first 30 days of the loan period?	______________	yes___no___
682.604(f)(1)	W. Does the institution provide initial counseling to each student borrowing for the first time under the Federal Stafford Loan Program or Direct Loan Program, prior to releasing the first disbursement?	______________	yes___no___
682.604(f)(1)	1. Is the counseling given either in person, by audiovisual presentation, or by computer-assisted technology, and is someone with Title IV expertise reasonably available shortly after the counseling to answer questions?	______________	yes___no___
	a. Does the institution mail initial counseling materials to students enrolled in correspondence programs or in programs of study abroad?	______________	yes___no___
682.604(f)(2)	2. Does the initial counseling:		
	a. emphasize the seriousness and importance of the repayment obligation?	______________	yes___no___
	b. except for loans made or originated by the institution, emphasize the borrower's obligation to repay the full amount even if he/she does not complete the program, cannot obtain employment upon completion, or is otherwise dissatisfied with or does not receive the educational or other services that the borrower purchased from the school?	______________	yes___no___
	c. describe in forceful terms the likely consequences of default, including adverse credit reports and litigation?	______________	yes___no___

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Reference	Question	Responsible Office	Response
682.604(g)(4)	3. Are documents maintained in the student's file substantiating the counseling?	____________	yes___no___
682.603(c)(3)	X. If loan proceeds are transferred electronically or by master check from the lender to the institution, does the institution obtain an authorization from the borrower to credit the loan proceeds to the borrower's institutional account (unless the borrower already provided the authorization in the loan application)?	____________	yes___no___
	1. Is the authorization obtained no more than 30 days prior to the first day of classes of the loan period, to cover all installments for that loan period?	____________	yes___no___
682.207(b)(2)	Y. Does the institution understand that it may not obtain a borrower's power of attorney or other authorization to endorse or otherwise approve the cashing of a loan check or approve the release of EFT funds?	____________	yes___no___
682.207(b)(2) 682.207(b)(1)(v)(C)(2)	1. Does the institution know that a borrower cannot provide this power of attorney or authorization to anyone else, *except* that a borrower in a study-abroad program *can* provide a power of attorney to an individual not affiliated with the institution?	____________	yes___no___
682.604(c)(5)	Z. Does the institution delay delivery of the first installment of a Federal Stafford Loan to first year undergraduate borrowers who have not previously borrowed a Federal Stafford, SLS, or Direct Loan until 30 days after the first day of the student's program of study?	____________	yes___no___
682.604(d)(3)	AA. Does the institution return proceeds to the lender no later than 30 days after the first day of the enrollment period, with explanation, if:		
	1. the student does not register for the period for which the loan was made?	____________	yes___no___
	2. the student does not begin attendance on a delayed basis?	____________	yes___no___
	3. a registered student withdraws or is expelled prior to the first day of classes for which the loan was made?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	BB. Does the institution obey timely delivery rules:		
682.604(c)(2)(i) ✦668.167(b)(1)(iii)	1. For a check made payable to the student alone: does the institution deliver the check to the student within: ▸ ●45 days of its receipt of funds? ▸ ✦30 days of its receipt of funds?	____________	yes___no___
682.604(c)(2)(ii)(A) ✦668.167(b)(iii)	2. For a check made co-payable to the student and institution: if the institution elects to endorse a check before sending it to the student, does it do so within: ▸ ●45 days of its receipt of funds? ▸ ✦30 days of its receipt of funds (unless the student meets one of the conditions for delay)?	____________	yes___no___
682.604(c)(3)(i); ✦668.167(b)(i)	3. For funds received by EFT or master check: if the institution delivers proceeds directly to the borrower, does it do so within: ▸ ●45 days of its receipt of funds? ▸ ✦10 business days of its receipt of funds (unless the student meets one of the conditions for delay)?	____________	yes___no___
●682.604(c)(3)(ii)(A), ✦668.604(c)(3)(ii)	4. For PLUS funds received by EFT or master check: if the institution credits proceeds to a student's account, does it deliver funds in excess of allowable costs to the borrower within: ▸ ●45 days of its receipt of the funds? ▸ ✦14 days from when funds were credited, if the funds were credited to the student's school account after the first day of classes of a payment period, or ▸ ✦14 days after the first day of classes, if the funds were credited on or before	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	the first day of classes of a payment period?		
	5. If eligibility issues cannot be resolved within applicable timeframes, does the institution return the proceeds to the lender?	______________	yes___no___
●682.604(d)(2)(ii)	a. ●Is the institution aware that the 45-day delivery period may be exceeded for subsequent disbursements in order to hold the proceeds until the beginning of the next scheduled term or similar division within the period for which the loan is intended?	______________	yes___no___
●682.604(d)(2)(ii)	i. ●Are the held proceeds then transmitted to the student or the student's account within 30 days?	______________	yes___no___
◆668.167(c)	b. ◆Is the institution aware that it may delay returning FFEL program funds to a lender for 10 business days after the applicable timeframe, if funds are not disbursed to a student because of failure of the student to meet eligibility requirements or to complete the required number of clock or credit hours of the prior payment period, and the institution expects the student to meet eligibility requirements or complete the required number of hours within that 10 business day period?	______________	yes___no__
●682.604(d)(2)(i) ●668.165(c)(2)(i) ◆668.164(f)(1)	CC. For credit hour term-based programs that are offered in semesters, trimesters, or quarters: does the institution ensure that loan proceeds are delivered no earlier than 10 days before the first day of classes of the payment period (● or period of enrollment)?	______________	yes___no___ n/a____
	DD. For credit hour programs that are not offered in semesters, trimesters, or quarters: does the institution ensure that loan proceeds are delivered no earlier than:		
●682.604(d)(2)(i) ◆668.164(f)	1. for first disbursements, 10 days before the first day of classes of the payment period (● or period of enrollment)?	______________	yes___no___ n/a___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ◆ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
●668.165(c)(2))(ii) ✦682.604(c)(7)	2. for subsequent disbursements:		
	●For 1996-97, 10 days before period of enrollment for which the loan was intended?	____________	yes___no___ n/a___
	✦For 1997-98, the later of: ▸ the calendar midpoint of the loan period, or ▸ the date that the institution determines that the student completes half of the academic coursework of the loan period?	____________	yes___no___ n/a___
	EE. For clock hour programs, does the institution ensure that loan proceeds are delivered no earlier than:		
●668.165(c)(2)(i) ✦668.164(f)	1. for first disbursements, 10 days before the first day of classes of the payment period?	____________	yes___no___ n/a___
●668.165(c)(2)(ii) ✦682.604(c)(8)	2. For subsequent disbursements:	____________	yes___no___ n/a___
	●For 1996-97, 10 days before the term or other period of enrollment for which the loan was intended?		
	✦For 1997-98, the later of: ▸ the calendar midpoint of the loan period; or ▸ the date that the institution determines that the student completed half of the clock hours of the loan period?		
✦668.164(b)(3)	3. ✦Is the institution aware that a limited number of excused absences may be included when determining if students have completed all of the clock hours of a prior payment period, if the institution has a written policy which addresses excused absences?	____________	yes___no___ n/a___
●668.165(b)(1) ✦668.165(a)(2)	FF. When the institution delivers loan proceeds by crediting the student's institutional account, does it expeditiously notify the student or parent borrower in writing or by equivalent electronic means that it has done so?	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
✦668.165(a)(3)(i)	1. ✦Is the required notice sent no earlier than 30 days before and no later than 30 days after crediting the student's account?	____________	yes___no___
●668.165(b)(1) ✦668.165(a)(3)(ii)	2. If it notifies the borrower electronically, does the institution request the borrower to confirm the receipt of the notice?	____________	yes___no___
●668.165(b)(1) ✦668.165(a)(3)(ii)	a. Does the institution maintain a record of that confirmation?	____________	yes___no___
✦668.165(a)(2)(ii)	3. ✦If the institution receives FFEL proceeds through EFT and master check, does it notify the student or parent of their right to cancel all or a portion of the loan or loan disbursement?	____________	yes___no___
✦668.165(a)(3)(i)	a. Does the institution provide this notice no earlier than 30 days before and no later than 30 days after crediting the student's account?	____________	yes___no___
✦668.165(a)(2)(ii)	b. Does the notice inform the student or parent of the procedures and the timeframe by which the cancellation request must be received?	____________	yes___no___
682.604(e)	GG. Does the institution have in place policies and procedures to identify and handle late disbursements (i.e., disbursements received after the end of the loan period or before the end of the loan period but after the student has ceased to be enrolled at least half-time)?	____________	yes___no___
●682.604(e)(2)(i) ✦668.164(g)(2)(ii)	1. Does the institution ensure that it does ***not*** deliver proceeds if the loan was *certified* after the student ceased to be enrolled at least half-time, notwithstanding any of the other rules concerning late disbursements?	____________	yes___no___
●682.604(e)(2)(ii) ✦668.164(g)(2)(ii) (C)	2. If the borrower is subject to the 30-day delay (first-year undergraduates receiving their first Stafford Loan), does the institution deliver a late *first* disbursement only if the student's last recorded date of attendance is after the 30th day of the loan period?	____________	yes___no___
●682.604(e)(3),	3. If a late ***first*** disbursement (to a student	____________	yes___no___

Reference	Question	Responsible Office	Response
✦668.164(g)(3)	beyond or not subject to the 30-day delay) *does **not** exceed* the student's documented educational costs for the portion of the enrollment period actually completed by the student, does the institution deliver the loan proceeds to the borrower not later than: ▸ ● 45 days after the school's receipt of the funds? ▸ ✦90 days after the date that the student became ineligible?		
●682.604(e)(3) ✦682.604(e)(2)	4. If a late *first* disbursement (to a student beyond or not subject to the 30-day delay) *exceeds* the student's documented incurred educational costs, does the institution return the balance of the loan proceeds to the lender with a notice certifying the beginning and ending dates of the period during which the borrower was enrolled at the school as an eligible student during the loan period, and the corrected financial need for the loan for that period?	____________	yes___no___
●682.604(e)(2)(iii) ✦668.164(g)(2)(ii)(B)	5. Is a late *second or subsequent* disbursement delivered to the borrower only if the student successfully completed the period of enrollment for which the loan was intended?	____________	yes___no___
●682.207(d)(2)(iii)	6. ●If a disbursement is received at the institution later than 60 days after the date the student ceases to be enrolled on at least a half-time basis or after the expiration date of the period of enrollment for which the loan was made, does the institution review the borrower's circumstances and either: ▸ determine and document that exceptional circumstances exist, and if so, deliver the proceeds to the borrower within 90 days after the student becomes ineligible; or ▸ return the loan proceeds to the lender? *NOTE: Beginning in 1997-98, an institution may make an eligible late*	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	disbursement within 90 days after the student becomes ineligible. Exceptional circumstances is no longer a determinant.		
682.604(h)	HH. Does the institution have procedures to identify and resolve Stafford loan overawards (i.e., when the institution discovers *before* delivering a disbursement that the student has or will have financial aid for the loan period that exceeds the amount for which he/she is eligible)?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-81	1. If the overaward is discovered after the loan is certified but before the proceeds are received, does the institution either: ▸ ask the lender to cancel or reduce the loan; and/or ▸ cancel or reduce other aid under its control, such as campus-based or institutional aid?	____________	yes___no___
682.604(h); 1996-97 FSFA Handbook, p. 10-82	2. If the institution discovers an overaward after proceeds are received (but not yet delivered) does the institution reduce or eliminate the overaward by either: ▸ using the student's unsubsidized Stafford, PLUS, state-sponsored or private loan to cover the EFC, if not already done; and/or ▸ returning the entire disbursement to the lender and requesting a new check for the portion for which the student is eligible, or delivering the portion for which the student is eligible and returning the ineligible portion to the lender?	____________	yes___no___
1996-97 FSFA Handbook, p. 10-82	a. If the institution chooses to disburse the entire first disbursement because the overaward can be eliminated by reducing or canceling subsequent disbursements, does the institution inform the lender of the reduced award and request cancellation or reduction of the subsequent disbursements?	____________	yes___no___

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Reference	Question	Responsible Office	Response
682.604(h)(3)(i)	3. Does the institution exclude from the overaward determination any FWS funds that do not exceed the student's need by more than $300?	______________	yes___no___
682.610(f)(2)	II. When the institution discovers that an enrolled FFEL borrower has changed his or her permanent address, does the institution notify the holder of the loan within 30 days, either directly or through the guaranty agency?	______________	yes___no___
668.43(c)(6) 682.604(g)(1)	JJ. Does the institution provide in-person exit counseling to each Federal Stafford Loan borrower shortly before the borrower ceases at least half-time study?	______________	yes___no___
682.604(g)(2)	1. Does the exit counseling give information about average anticipated monthly repayments, repayment options (such as loan consolidation and refinancing), debt management strategies, deferment and cancellation conditions, and repeat the information given during initial counseling?	______________	yes___no___
682.604(g)(2)(vi)	2. Is the borrower required to update his/her name, address, driver's license number, social security number, and references?	______________	yes___no___
682.604(g)(2)(vi); 1996-97 FSFA Handbook, p. 10-122	3. Is the borrower required to supply his/her expected permanent address after leaving school, and the name and address of his/her expected employer and next of kin?	______________	yes___no___
	4. Does the institution mail exit counseling information to students:		
682.604(g)(1)(ii)	▸ within 30 days after learning the student has dropped out or left without attending exit counseling?	______________	yes___no___
682.604(g)(1)(i)	▸ within 30 days after a borrower completes a correspondence program?	______________	yes___no___ n/a___
1996-97 FSFA Handbook, p. 10-120	a. Is the borrower asked to provide information that would be collected during the in-person exit counseling?	______________	yes___no___
682.604(g)(4)	5. Does the institution maintain documents in	______________	yes___no___

Reference	Question	Responsible Office	Response
	the student's file substantiating that the counseling has been performed?		
682.604(g)(2)(vi)	6. Does the institution provide the information collected from the borrower during exit counseling to the guaranty agencies listed in the borrower's records within 60 days?	____________	yes___no___
682.605(a)	KK. For a student who does not return after summer break, does the institution determine the student's withdrawal date no later than 30 days after the first day of the next scheduled term?	____________	yes___no___
682.605(b)	1. For other withdrawing students, does the institution report to the lender the student's date of withdrawal (month, day, and year) as determined under the General Provisions refund regulations?	____________	yes___no___
682.607(c)	LL. Does the institution pay a refund to the lender within the following applicable timeframe:	____________	yes___no___
	▸ within 60 days of the earlier of: ▸ the date the student officially withdraws or is expelled; or ▸ the date the institution determines the student unofficially withdrawn; or ▸ for a student who does not return from an approved leave of absence (LOA), within 30 days of the earlier of the date the leave of absence expires or the date the student notifies the institution that he/she will not be returning to the institution after the leave of absence?	____________	yes___no___
682.607(a)(1)	1. Does the institution pay the refund to the original lender or a subsequent holder if the loan was transferred and the institution knows the new holder's identity?	____________	yes___no___
682.607(a)(2)	2. Does the institution provide simultaneous written notice to the borrower when it has paid a refund to the lender?	____________	yes___no___
682.604(d)(4)	MM. If the school cannot document that a registered student attended during the loan	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	period, does the institution notify the lender, within 30 days after determining that the student never attended, of the student's failure to attend school and return to the lender: ▸ any loan proceeds credited directly by the school to the student's account; and ▸ the amount of payments made directly by the student to the school, to the extent that they do not exceed the amount of any loan proceeds delivered to the student?		
682.610(a)(2)	NN. Are all required reports submitted timely?	____________	yes___no___
682.610(c)(1)	1. Does the institution complete and return Student Status Confirmation Reports (SSCRs) within 30 days of receipt?	____________	yes___no___
682.610(c)(2); 1996-97 FSFA Handbook, p. 10-135	2. If the institution does not expect to submit an SSCR within 60 days of learning that a student's enrollment status has changed, and that change would normally be reported on the SSCR, does the institution notify the lender *within 30 days*?	____________	yes___no___
DCL-GEN-96-17	*NOTE: Beginning in March of 1997, all SSCR information must be reported to the National Student Loan Data System (NSLDS), rather than to guaranty agencies.*		
682.610(b) ✦682.610(a)(2)	OO. Does the institution maintain, for each FFEL Loan received by or on behalf of its students, a copy of the loan application or data submitted electronically to the lender which can, upon request, produce a hard copy record (✦or other media format acceptable to the Secretary) of the items listed below?		
	● For 1996-97:	____________	yes___no___
	▸ Name and address of the lender.		
	▸ Loan amount and enrollment period for which the loan was intended.		
	▸ Data used to construct individual br		

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Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	standard budgets used in calculating the student's estimated cost of attendance. ▸ Sources and amounts of financial assistance used to determine the student's estimated financial assistance for the loan period. ▸ Amount of the student's tuition and fees paid for the loan period and date paid. ▸ Amount and basis of the institution's calculation of any refund paid to or on behalf of the student. ▸ In the case of an application for a subsidized Federal Stafford Loan, the student's EFC, and the corresponding certification by the school to the lender. ▸ Amount of each disbursement and date received. ▸ Date the school endorsed each loan check. ▸ Date of transmittal of loan proceeds by the school to the student. ▸ For loans delivered by electronic funds transfer (EFT) a copy of the student's written authorization to transfer the initial and subsequent disbursements of each loan. ▸ The student's job placement, if known. ▸ Any other record required for the school to document its compliance with applicable requirements with respect to the loan.		
✦682.610(b) ✦668.24(c)	✦For 1997-98: ▸ Name and address of the lender. ▸ Loan amount and enrollment period for which the loan was intended. ▸ For loans delivered by check , the date the institution endorsed each loan check, if applicable.	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	▸ Date or dates of delivery of the loan proceeds by the school to the student or parent borrower. ▸ For loans delivered by electronic funds transfer (EFT) a copy of the student's written authorization to deliver the initial and subsequent disbursements of each loan. ▸ Documentation of the student or parent borrower's eligibility for FFEL funds. ▸ The calculation used to determine loan eligibility. ▸ Documentation of and information collected at any initial or exit loan counseling ▸ The amount, date and basis of the calculation of any refund or overpayment paid to or on behalf of a student ▸ Any other record required for the school to document its compliance with applicable requirements with respect to the loan.		
General Provisions Act, sec. 443(a), as amended by P.L. 103-382; ✦668.24(e)(2)(ii)	1. Unless questioned by an audit, program review, investigation, or other review, does the institution maintain records and copies of reports for: ▸ ●three years? ▸ ✦three years from the end of the award year in which the records are submitted? *Note: Minimum record retention requirements were changed to three years as a result of statutory amendments made by the Improving America's Schools Act of 1994. In February, 1996, ED issued guidance making the three-year period applicable to all records, regardless of when the records were established.*	______________	yes___no___
General Provisions Act, sec. 443(a), as	2. Unless questioned by an audit, program review, investigation, or other review, does the institution maintain records relating to a	______________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
amended by P.L. 103-382; ✦668.24(e)(2)(i)	student or parent borrowers eligibility and participation in the FFEL or Direct Loan program for three years after the end of the award year in which the student last attended the institution?		
682.610(d)(3)	a. Does the institution keep all records involved in any loan, claim, or expenditure questioned by a Title IV audit, program review, investigation, or other review until: ▸ ● the audit questions are resolved? ▸ ✦ the later of : ▸ the resolution of the questioned loan, claim, or expenditure; or ▸ the end of the retention period applicable to the record?	____________	yes___no___
●682.610(f)(1) ✦668.610(f)(4)	3. Does the institution promptly respond to requests to provide a lender or guaranty agency with any information it has about the last known address, surname, employer, and employer address of a borrower who attends or has attended the institution?	____________	yes___no___
	PP. If the institution is participating as a school lender under the FFEL program does it comply with the provisions outlined above and with provisions applicable only to institutions if they are lenders, some of which are listed below?		
682.200, School lender	1. Has the institution entered into an agreement with a guaranty agency to permit it to make or originate loans under the FFEL programs?	____________	yes___no___
682.601(a)	2. Does the institution employ at least one person whose full time responsibilities are limited to the administration of financial aid programs for the institution's students?	____________ ____________	yes___no___ yes___no___
682.601(a)(6)	3. Is the institution's default rate 15% or less?	____________	yes___no___
682.601(a)(3)	4. Does the institution ensure that it does not make or originate loans that would be	____________	yes___no___

Reference	Question	Responsible Office	Response
	outstanding to or on behalf of more than 50% of the undergraduate students attending at least half-time (unless this requirement is waived by ED)?		
682.601(a)(4)	5. Are all applicants who have not previously received a loan made or originated by the school informed that they must make a good faith effort to obtain a loan through a commercial lender?	____________	yes___no___
682.601(a)(5) 682.601(b)	a. Does the institution require an applicant who has not previously received a loan made or originated by the school to provide evidence of denial of a loan (as defined in regulation) by a commercial lender for the same academic period?	____________	yes___no___
682.305	6. Does the institution submit the periodic reports necessary to receive interest benefits and special allowance?	____________	yes___no___
682.601(a)(7)	7. Except for reasonable administrative expenses directly related to the FFEL program, does the institution use interest subsidy and special allowance payments for need-based grant programs for its students?	____________	yes___no___
682.206 - .211; 682.411	8. Does the institution follow due diligence requirements for making, disbursing, and servicing loans, and for collecting, deferring, or forbearing loans, including but not limited to the provisions listed below?	____________	yes___no___
682.207(c)	a. Does the institution adhere to the multiple disbursement provisions:		
682.206(d)(1),(3)	b. Is the promissory note used by the institution an executed legally-enforceable promissory note to which the institution has made no changes?	____________	yes___no___
682.206(d)(2)	c. Does the institution give a copy of the executed note to the borrower?	____________	yes___no___
682.209(a)	d. Does the institution ensure that each borrower is afforded the appropriate grace period prior to repayment?	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
682.209(a)(7),(c)	e. Are minimum/maximum repayment period rules and minimum repayment amount requirements observed?	____________	yes___no___
682.205(a)	9. Does the institution provide required disclosures to borrowers in writing before or at the time of the borrower's first disbursement on a FFEL Loan?	____________	yes___no___
682.209(h)(6)(i)	10. Does the institution treat a refund of institutional charges as a credit against the principal amount owed by the borrower?	____________	yes___no___
682.414(a)(3)	11. Does the institution maintain complete and accurate records of each loan account as required of lenders, in a system that allows ready identification of each loan's current status?	____________	yes___no___
682.414(a)(4)(ii)	12. Does the institution retain the original promissory note until the loan is paid in full or assigned to ED?	____________	yes___no___
	a. When repayment is complete does the institution return the actual note to the borrower (or notify the borrower that the loan is paid in full under an alternate procedure that is acceptable under state law) and retain a copy for the prescribed period?	____________	yes___no___
682.202	13. Are restrictions on permissible charges to borrowers observed, and the correct interest rate assessed?	____________	yes___no___
682.202(c)(4) 682.401(b)(10)(iii)	14. Are origination fees and insurance fees deducted from the loan proceeds proportionately?	____________	yes___no___
682.412(a)	15. Does the institution comply with required actions in cases where the borrower (or student on whose behalf the parent borrowed) provided erroneous information that caused the borrower to be ineligible for all or part of a FFEL Loan or receive interest benefits for which he or she was not eligible?	____________	yes___no___

Other Recommended Good Practices for the Administration of the FFEL Program

Practice **Comments**

1. The institution should be familiar with the rights and responsibilities of the borrower [Section 682.205(a)], and should include this information in its loan counseling.

   Note: The lender is responsible for informing the borrower in writing of his/her rights and responsibilities.

2. The institution should ensure that the student has explored all other sources of aid, and should caution the student to borrow the minimum amount needed.

3. Students should be encouraged to consider what the amount of their monthly repayments will be, as well as what their income is likely to be.

4. The institution, even if it is not a lender, should include in the exit interview with Federal Stafford borrowers, information regarding deferment provisions.

5. The importance of maintaining complete, accurate, and up to date information about their loans should be emphasized to students.

6. Institutions that are lenders should attempt to meet with the borrower to ensure that he/she understands his/her rights and obligations before making an initial disbursement.

Comments on the Administration of the FFEL Program ________________________

VIII. William D. Ford Direct Loan Program

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
668.16(m) 668.17(a),(b); ● DCL P-96-3	A. Does the institution understand the impact of its Direct Loan cohort default rate on institutional eligibility to participate in:		
	1. the Direct Loan and FFEL Program?	____________	yes___no___
	2. all Title IV programs?	____________	yes___no___
685.300(b)(9)	B. Has the institution implemented a quality assurance plan to ensure compliance with program requirements?	____________	yes___no___
685.301(a)(7)	C. Does the institution understand that it may not assess a fee for origination activities, or for providing information necessary to receive a Direct Loan or any benefits associated with a Direct Loan?	____________	yes___no___
685.200(c) 685.102(b)	D. Does the institution ensure that student borrowers and, in the case of a Direct PLUS loan, both the parent and the student meet all eligibility requirements?	____________	yes___no___
685.200(c) 685.102(b)	1. In the case of a student or parent borrower who is currently in default on a FFEL or Direct Loan, does the institution ensure that the borrower has made satisfactory repayment arrangements on the defaulted loan as defined in regulation?	____________	yes___no___
668.32(a)(2)	2. Does the institution originate a loan only if the student will be enrolled at least half-time?	____________	yes___no___
	3. Does the institution hold as *ineligible* for Direct Loans students who:		
668.32(c)(2)(i)	a. are incarcerated?	____________	yes___no___
685.204(b)(1)(ii)	b. are serving in a medical internship or residency program (other than dentistry), unless it is part of the degree program?	____________	yes___no___ n/a___
685.200(a)(1)(iv); DCL DLB-96-2 Q&A #5	4. Is the institution aware that if a borrower's previous Direct or FFEL loan was canceled due to total permanent disability, the borrower:	____________	yes___no___

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Items marked ◆ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	▸ must obtain a physician's certification that he/she is able to engage in substantial gainful activity, and		
	▸ must waive future cancellation based on the disability unless it substantially deteriorates?		
DCL DLB-96-2 Q&A #5	a. Does the institution send these certifications to the Loan Origination Center, and retain copies in student files?	____________	yes___no___
685.200(b)(2)	5. For counseling purposes, is the institution familiar with credit history requirements for parent borrowers?	____________	yes___no___
DCL DLB-96-2, Q&A #17	a. Is the institution aware that a student may no longer be an endorser on a Direct PLUS loan?		
668.2, Parent 685.200(b)(2)	E. Does the institution understand the definition of parent, and realize that a stepparent is an eligible PLUS borrower if his/her income and assets would have been taken into account when calculating the student's expected family contribution, even if the stepparent is not a legal guardian or adoptive parent?	____________	yes___no___
685.200(a)(1)(iii)	F. Does the institution have in place a means of determining Federal Pell Grant eligibility or ineligibility and ensuring that eligible students apply for the Federal Pell Grant prior to certifying a Federal Direct Stafford application?	____________	yes___no___
685.203(c)(1)(ii), (iii)	G. If, due to exceptional circumstances, a dependent student's parents will likely be precluded from borrowing PLUS, and cannot otherwise provide the EFC, does the institution document its determination that a student may borrow a Direct Unsubsidized loan?	____________	yes___no___
685.301(a)(1)	1. Does the institution recognize that a parent's refusal to borrow a PLUS loan does not constitute an exceptional circumstance?	____________	yes___no___
685.301(a)(6)	H. Does the institution understand its right to refuse to originate loans and to reduce the	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
	borrower's determination of need for student or parent borrowers?		
685.301(a)(6)(i)	1. Does the institution make such judgments only on a case-by-case basis?	____________	yes___no___
685.301(A)(6)(ii)	2. Is the documentation supporting such a decision retained in the student's file?	____________	yes___no___
685.301(a)(6)	3. Does the institution provide in writing to the borrower, its reasons for declining to certify a Direct Loan, or for reducing the amount of the loan?		
685.301(a)(6)(iii)	4. Does the institution ensure that it does not engage in any discriminatory practice based on the borrower's race, sex, color, religion, national origin, age, handicapped status, or income?	____________	yes___no___
DCL DLB-96-2, Q&A #7	I. Is the institution aware that it may establish minimum loan amounts, and that borrowers who are eligible for Direct Subsidized loan of less than the minimum amount may receive a Direct Unsubsidized loan which excludes the subsidized loan amount from "estimated financial assistance"?	____________	yes___no___
685.200(a)(2)(i) 685.102(b), Estimated financial assistance,(1)	J. Has the institution established procedures to calculate accurately the assistance the student *will receive* from Federal, State, institutional, or other sources; such as scholarships, grants, loans, and need-based employment, including but not limited to Federal Pell Grant, campus-based funds, Veterans or other educational benefits, and ROTC?	____________	yes___no___
685.102(b), Estimated financial assistance, (2)	1. Does the institution ***exclude*** from estimated financial assistance:		
	▸ any amounts used to replace the expected family contribution from unsubsidized Federal Stafford, Direct Unsubsidized, PLUS, state-sponsored, or private loans?	____________	yes___no___
	▸ any Federal Perkins or FWS awards that the student declined or for which the student did not apply?	____________	yes___no___

Reference	Question	Responsible Office	Response
	▸ for a Direct PLUS application, the amount of unsubsidized Stafford loan for which a student would be eligible, if the parent is electing to borrow that amount instead of having the student borrowing it?	______________	yes___no___
685.102(b), Period of enrollment	K. Does the institution originate loans for periods that coincide with a bona fide academic term established by the school for which institutional charges are generally assessed (e.g., semester, trimester, quarter, length of the student's program or academic year)?	______________	yes___no___
685.200(a)(5) 685.203	L. Are procedures in place to ensure that a loan will not be originated for an amount that exceeds the lesser of the student's need (estimated cost of attendance minus estimated financial assistance, and, in the case of subsidized Stafford loans, minus the expected family contribution), or applicable annual loan limits?	______________	yes___no___
685.203(a)(1),(2),(3)	M. Does the institution observe the reduced annual Direct Stafford Loan limits (subsidized and unsubsidized) for undergraduates enrolled in:		
	▸ a program that is less than a full academic year in length?	______________	yes___no___ n/a___
	▸ the final portion of a program longer than an academic year, if that portion is less than an academic year in length?	______________	yes___no___
685.301(a)(4)(ii)	1. Does the institution realize that it need not recalculate the amount of the loan if the number of hours for which an eligible student is enrolled changes after the school certifies the loan?	______________	yes___no___
DCL DLB-96-2, Q&A #8	N. If the institution chooses to limit the number of times a student may receive an annual loan limit for a given grade level, does it apply the policy consistently, and not on a case-by-case basis?		
685.203(h); 1996-97 FSFA Handbook, Chapter	O. Does the institution understand the requirements pertaining to the period to which annual loan limits apply, and when it may use a borrower-	______________	yes___no___

Reference	Question		Responsible Office	Response
10, Appendix B		based academic year versus a scheduled academic year to determine the frequency with which a given student may borrow?		
685.203(d)	P.	Is a system in place to prevent certifying loans in excess of applicable aggregate loan limits?	____________	yes___no___
685.203(d)(1)		1. Is the institution aware that dependent undergraduate borrowers are eligible to borrow $23,000 in combined subsidized and unsubsidized loan amounts?	____________	yes___no___
685.203 (d),(e)		2. Is the institution aware that independent undergraduate borrowers (or dependent undergraduate borrowers whose parents do not qualify for PLUS) are eligible to borrow a total of $46,000 in Federal Direct Stafford Loans, of which up to $23,000 may be subsidized?	____________	yes___no___
685.203 (d),(e)		3. Is the institution aware that graduate borrowers may borrow a total of $138,500 in Federal Direct Stafford Loans (less any amounts borrowed as an undergraduate) of which up to $65,500 may be subsidized loans?	____________	yes___no___
685.203 (d),(e)		4. Does the institution consider amounts students have borrowed through the FFEL program, and the SLS program, when determining if aggregate loan limits have been reached?	____________	yes___no___
HEA, Section 428(d)(2); DCL GEN-96-14, DCL GEN-97-4, DCL DLB-97-1	Q.	Does the institution limit borrowing in excess of Direct Unsubsidized Stafford annual loan limits to health professions students who: ▸ are enrolled at an institution that disbursed HEAL loans between 10/1/94 and 9/30/95; ▸ have not previously borrowed a HEAL loan; and ▸ meet all HEAL program eligibility requirements, including full-time enrollment beginning 5/1/97?	____________	yes___no___ n/a___
		1. Does the institution only certify loans in excess of annual limits for loan periods	____________	yes___no___ n/a___

Reference	**Question**	**Responsible Office**	**Response**
	beginning on or after 7/1/96?		
	2. Does the institution limit the amount of supplementary borrowing to the amount students would be eligible to borrow under HEAL program loan limits?	______________	yes___no___ n/a___
	3. Is the institution aware that their has been no change to the aggregate borrowing limits for these students?	______________	yes___no___ n/a___
685.603(b)(2)	R. Does the institution establish a disbursement schedule (for Direct Stafford *and* Direct PLUS loans) consistent with program requirements and regulatory cash management rules?	______________	yes___no___
◆685.301(b)(3), ◆668.4, payment period	S. ◆Does the institution apply the concept of "payment periods" when requesting second or subsequent disbursements of loan proceeds?	______________	yes___no___
685.202(c)	T. Is the institution aware that borrowers are charged a 4% loan fee, which is deducted from each disbursement of the loan proceeds?	______________	yes___no___
685.301(a)(5)	U. Is the institution aware that the date of loan origination is the date the institution creates the electronic loan origination record?	______________	yes___no___
◆668.164(a); DCL DLB-96-5	V. Is the institution aware that the disbursement date is the date the institution credits a student's institutional account or pays the student directly with: ▸ funds received from the Secretary; or ▸ institutional funds used in advance of receipt of Title IV funds?	______________	yes___no___
◆668.164(b); DCL DLB-96-5	1. ◆Is the institution aware that if, in advance of receipt of Title IV funds, institutional funds are credited to a student's tuition account earlier than is allowable, the funds will be considered disbursed on the earliest allowable day?	______________	yes___no___
DCL DLB-96-5; FR, 11/29/96, p. 60588	2. Is the institution aware that if institutional funds are credited to a student's account in anticipation of receipt of Title IV funds, but those funds are not identified as Direct Loan funds, then a Direct Loan	______________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	disbursement is not considered to have been made?		
685.301(b)(1)	W. Does the institution verify, before disbursing a loan, that the borrower and, if applicable, the student, has provided all necessary information for the loan application, and for the promissory note if the institution collects the note?	____________	yes___no___ n/a___
685.301(c)(2)	1. If it collects promissory notes, does the institution provide the Servicer an executed, legally enforceable promissory note as proof of the borrower's indebtedness?	____________	yes___no___ n/a___
685.300(b)(5)	X. Does the institution provide the Direct Loan Servicer with timely and accurate information for servicing and collecting loans?	____________	yes___no___
685.301(d)	Y. Does the institution submit to the Direct Loan Servicer, within 30 days following the date of disbursement, the following records:	____________	yes___no___
	▸ promissory note (if the institution collects promissory notes);		
	▸ loan origination record; and		
	▸ initial and subsequent disbursement records?		
1996-97 Direct Loan School Guide, p. 5-3	Z. Does the institution understand that loan origination records must be submitted while the student meets all loan eligibility requirements?	____________	yes___no___
1996-97 Direct Loan School Guide, p. 5-9	AA. If the institution prints promissory notes, when the amount of a student's loan increases after the promissory note has been printed, does the institution print a new promissory note covering the incremental difference?	____________	yes___no___ n/a___
1996-97 Direct Loan School Guide, p. 5-9	1. If a new note is prepared based on the new total amount, does the institution cancel the old note?	____________	yes___no___ n/a___
	BB. Does the institution disburse funds only to a student for whom:	____________	yes___no___
685.303(b)(1)(i)	▸ it has received a promissory note, if the institution initiates the drawdown; or		

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Reference	Question	Responsible Office	Response
685.303(b)(1)(ii)	▸ it has received funds from the Servicer, if the institution does not initiate drawdown of funds?		
DCL DLB-96-5	1. Is the institution aware that it may give its own funds to a Direct Loan borrower more than 10 days prior to the first day of classes, but in that case it may not report the disbursement as a Direct Loan disbursement until no earlier than 10 days prior to the first day of classes?	______________	yes___no___
DCL DLB-96-5	a. Does the institution understand that it may not receive any interest payments either from the Department of Education or from the student for the period of time between the date the disbursement of institutional funds is made and the date the institution receives federal funds to reimburse itself for that disbursement?	______________	yes___no___
1996-97 Direct Loan School Guide, p. 6-12	CC. If the institution initiates drawdown of funds, is it aware that funds drawn down for one eligible borrower may be disbursed to another eligible borrower?	______________	yes___no___ n/a___
1996-97 Direct Loan School Guide, p. 6-12	DD. If the institution does not initiate drawdowns, does it ensure that funds are disbursed only to the borrower for whom they were intended, according to the disbursement roster?	______________	yes___no___ n/a___
668.166(b)(1)(ii); DCL DLB-96-2, Q&A #9	1. Does the institution return funds for a student found to be ineligible within 3 days of receipt, unless the student will become eligible, and the institution will disburse the funds, within an additional 7 days?	______________	yes___no___
685.303(b)(2)(i)	EE. Before disbursing loan proceeds, does the institution determine that students have continuously maintained eligibility from the beginning of the loan period certified by the school on the loan application, including making satisfactory academic progress and, except in the case of late disbursements, at least half-time enrollment?	______________	yes___no___
685.303(b)(2)(iv)	1. Is the institution aware that if a student temporarily ceases to be enrolled at least	______________	yes___no___

Reference	Question	Responsible Office	Response
	half-time but then resumes at least half-time enrollment, the student may receive the proceeds if he/she continues to qualify for the entire loan amount based on a reduced cost of attendance reflecting the reduced enrollment?		
685.303(b)(2)(iv)	a. Does the institution document the student's resumption of at least half-time enrollment and the revised cost of attendance in the student's file?		
685.303(b)(2)(ii)	2. Is the institution aware that it may consider a student as having maintained eligibility even if he/she delays attendance for up to the first thirty days of the loan period?	____________	yes___no___
685.303(b)(4)	FF. Does the institution delay delivery of the first installment of a Direct Loan to first year undergraduate borrowers who have not previously borrowed a Direct or FFELP loan until 30 days after the first day of the student's program of study?	____________	yes___no___
●668.165(a)(4)	GG. ●If the institution uses student accounts, does it disburse Direct Loan funds by crediting the student's account?	____________	yes___no___
DCL DLB-96-2, Q&A #16	1. If the institution credits student's accounts with Direct PLUS proceeds, does the institution release excess Direct PLUS Loan proceeds (not needed to cover institutional charges) to the student for whom the parent borrowed only if the parent borrower authorizes it?	____________	yes___no___
●668.165 ✦668.164	HH. Does the institution ensure that Direct Loan funds are disbursed to a student or parent borrower within the time frames established under the cash management rules?	____________	yes___no___
685.303(c); ●668.165(c)(2)(i), (ii); ✦668.164(f)(1)	II. For credit-hour term-based programs that are offered in semesters, trimesters, or quarters, does the institution ensure that loan proceeds are delivered no earlier than 10 days before the first day of classes of the payment period (● or period of enrollment)?	____________	yes___ no___ n/a___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	JJ. For credit-hour programs that are not offered in semesters, trimesters, or quarters; does the institution ensure that loan proceeds are delivered no earlier than:		
●685.303(c) ✦668.164(f)(2)	1. for first disbursements, for students not subject to delayed disbursement 10 days before the first day of classes of the payment period (● or period of enrollment)?	____________	yes___no___ n/a___
●668.165(c)(2))(ii) ✦685.301(b)(5)	2. for subsequent disbursements:		
	●For 1996-97, 10 days before the period of enrollment for which the loan was intended?	____________	yes___no___ n/a___
	✦For 1997-98, the later of:	____________	yes___no___ n/a___
	▸ the calendar midpoint of the loan period; or		
	▸ the date that the institution determines that the student completes half of the academic course work of the loan period?		
	KK. For clock hour programs, does the institution ensure that loan proceeds are delivered no earlier than:		
●668.165(c)(2)(i) ✦668.164(f)	1. for first disbursements, 10 days before the first day of classes of the payment period?	____________	yes___no___ n/a___
●668.165(c)(2)(ii) ✦685.301(b)(6)	2. For subsequent disbursements:		
	●For 1996-97, 10 days before the term or other period of enrollment for which the loan was intended?	____________	yes___no___ n/a___
	✦For 1997-98, the later of:	____________	yes___no___ n/a___
	▸ the calendar midpoint of the loan period; or		
	▸ the date that the institution determines that the student completed half of the clock hours of the loan period?		
✦668.164(b)(3)	3. ✦Is the institution aware that a limited number of excused absences may be included when determining if students have	____________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
	completed all of the clock hours of a prior payment period, if the institution has a written policy which addresses excused absences?		
●668.165(b)(1) ✦668.165(a)(2)	LL. When the institution disburses loan proceeds by crediting the student's institutional account, does it expeditiously notify the student or parent borrower in writing, or by equivalent electronic means that it has done so?	____________	yes___no___
✦668.165(a)(3)(i)	1. ✦Is the required notice sent no earlier than 30 days before and no later than 30 days after crediting the student's account?	____________	yes___no___
●668.165(b)(1) ✦668.165(a)(3)(ii)	2. If it notifies the borrower electronically, does the institution request the borrower to confirm the receipt of the notice?	____________	yes___no___
●668.165(b)(1) ✦668.165(a)(3)(ii)	a. Does the institution maintain a record of that confirmation?	____________	yes___no___
✦668.165(a)(2)(ii)	3. ✦Does the institution notify the student or parent borrower of their right to cancel all or a portion of the loan or loan disbursement?	____________	yes___no___
✦668.165(a)(3)(i)	a. ✦Does the institution provide this notice no earlier than 30 days before and no later than 30 days after crediting the student's account?	____________	yes___no___
✦668.165(a)(2)(ii)	b. ✦Does the notice inform the student or parent of the procedures and the timeframe by which the cancellation request must be received?	____________	yes___no___
685.303(d)	MM. Does the institution have in place policies and procedures to identify and handle late disbursements (i.e., disbursements received after the end of the loan period or before the end of the loan period but after the student has ceased to be enrolled at least half-time)?	____________	yes___no___
●685.304(d)((3)(ii) ✦668.164(g)(2)(ii)	1. Does the institution ensure that it does ***not*** deliver proceeds if the loan was *certified* after the student ceased to be enrolled at	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
	least half-time, notwithstanding any of the other rules concerning late disbursements?		
●685.303(b)(4) ◆668.164(g)(2)(ii)(C)	2. If the borrower is subject to the 30-day delay (first-year undergraduates receiving their first Federal Stafford Loan), does the institution deliver a late *first* disbursement only if the student's last recorded date of attendance is after the 30th day of the loan period?	____________	yes___no___
●685.303(d)(3)(i) ◆668.164(g)(2)(ii)(B)	3. Is a late *second or subsequent* disbursement delivered to the borrower only if the student successfully completed the period of enrollment for which the loan was intended?	____________	yes___no___
●685.303(d)(2) ◆668.164(g)(3)	4. Is an eligible late disbursement only made for up to the amount of the student's documented educational costs for the portion of the enrollment period actually completed by the student?	____________	yes___no___
●685.303(d)(2) ◆668.164(g)(3)	5. Does the institution disburse eligible late disbursement loan proceeds to the borrower not later than: ▸ ● 60 days after the date that the student became ineligible? ▸ ◆90 days after the date that the student became ineligible?	____________	yes___no___
●685.303(d)(4)	6. ● If the institution determines that exceptional circumstances warrant a late disbursement beyond the 60 days allowed, does it limit the extended period to no more than an additonal 30 days, and document the exceptional circumstances in the student's file? *Beginning in 1996-97, an institution may make an eligible late disbursement within 90 days after the student becomes ineligible. Exceptional circumstances is no longer a determinant.*	____________	yes___no___
685.303(e)	NN. If, before disbursing a Direct Subsidized Loan or Direct Unsubsidized Loan, the institution	____________	yes___no___

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Reference	Question	Responsible Office	Response
	learns that the borrower will receive or has received additional financial aid that exceeds the amount of assistance for which the student is eligible, does the school reduce or eliminate the overaward by either:		
685.303(e)(1)	▸ using the student's Direct Unsubsidized, Direct PLUS, or state-sponsored or private loan to cover the expected family contribution; or		
	▸ reducing one or more subsequent disbursements to eliminate the overaward?		
685.304(a)(1)	OO. Does the institution provide, to each Direct Loan borrower, initial counseling prior to the release of the initial disbursement of the borrower's first Direct Loan, unless the student received a previous Direct or FFELP loan?	____________	yes___no___
685.304(a)(2)	1. Is the counseling given either in person, by audiovisual presentation, or by computer-assisted technology, and is someone with Title IV expertise reasonably available shortly after the counseling to answer questions?	____________	yes___no___
	a. Does the institution mail initial counseling materials to students enrolled in correspondence programs or in programs of study abroad?	____________	yes___no___
685.304(a)(3)	2. Does the initial counseling:		
	a. emphasize the seriousness and importance of the repayment obligation?	____________	yes___no___
	b. describe in forceful terms the likely consequences of default, including adverse credit reports and litigation?	____________	yes___no___
	c. Provide general information about average indebtedness and average monthly repayment of Direct Loan student borrowers at the institution or in the student's program of study?	____________	yes___no___
685.304(b)(4)	3. Are documents maintained in the student's file substantiating the counseling?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
685.304(b)(1)	PP. Does the institution provide in-person exit counseling to each Direct Loan student borrower shortly before the borrower ceases at least half-time study at the institution?	______________	yes___no___
685.304(b)(1)(i)	1. For correspondence students: does the institution mail exit counseling materials to the borrower within 30 days after the borrower completes the program?	______________	yes___no___ n/a___
685.304(b)(1)(ii)	2. For students who fail to attend an exit interview or leave without the institution's knowledge: is the information required for exit interviews mailed to the student's last known address within 30 days after the institution learns the student left or failed to attend a scheduled interview?	______________	yes___no___
685.304(b)(2)	3. During exit counseling does the institution supply the student with information regarding:		
	a. The student's average anticipated monthly repayment?	______________	yes___no___
	b. Repayment options (standard repayment, extended repayment, graduated repayment, income contingent repayment, and loan consolidation)?	______________	yes___no___
	c. Deferment and cancellation options?	______________	yes___no___
	d. Debt management strategies?	______________	yes___no___
	e. Emphasize the seriousness and importance of the repayment obligation?	______________	yes___no___
	f. Describe in forceful terms the likely consequences of default, including adverse credit reports, garnishment of wages, and litigation?	______________	yes___no___
	g. Explain how to contact the party servicing the student's Direct Loan?	______________	yes___no___
685.304(b)(2)(vii)	4. At exit counseling, does the institution require the borrower to provide or correct his/her name, address, social security number, driver's license number, references,	______________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	and name and address of the borrower's expected employer?		
	a. Does the institution report this data to the Direct Loan Servicer within 60 days?	____________	yes___no___
685.304(b)(4)	5. Does the institution maintain documentation in the student's file substantiating that the exit counseling has been performed?	____________	yes___no___
685.309(b)(1)	QQ. Does the institution complete and return Student Status Confirmation Reports (SSCRs) within 30 days of receipt?	____________	yes___no___
685.309(b)(2)	1. If the institution does not expect to submit an SSCR within 60 days of learning that a student's enrollment status has changed, and that change would normally be reported on the SSCR, does the institution notify the lender *within 30 days*?	____________	yes___no___
	RR. Does the institution maintain records (including in microfilm or other media formats, if desired) for all loans received by or on behalf if its students, in addition to a copy of the loan application, a record of the following:	____________	yes___no___
●685.309(d)	●For 1996-97:	____________	yes___no___
	1. The amount of the loan and loan period.		
	2. The data used to construct an individual budget, or the institution's itemized standard budget used in calculating the student's estimated cost of attendance.	____________	yes___no___
	3. The sources and amounts of financial aid used in determining the student's estimated financial assistance for the loan period.	____________	yes___no___
	4. The amount of the student's tuition and fees paid for the loan period and the date paid.	____________	yes___no___
	5. The amount and basis of the calculation of any refund paid to or on behalf of a student.	____________	yes___no___

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Items marked ◆ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	6. In the case of a Direct Subsidized Loan, the data used to determine the student's expected family contribution.	______________	yes___no___
	7. The date of each disbursement of the loan.	______________	yes___no___
	8. Information collected at the exit interview.	______________	yes___no___
	9. Any other record necessary for the institution to document its compliance with applicable loan requirements.	______________	yes___no___
◆685.309(c) ◆668.24(c)	◆ For 1997-98:	______________	yes___no___
	1. Loan amount and enrollment period for which the loan was intended.		
	2. Documentation of the student or parent borrower's eligibility for Direct Loan funds.	______________	yes___no___
	3. The calculation used to determine loan eligibility.	______________	yes___no___
	4. Date of disbursement of the loan proceeds by the school to the student or parent borrower.	______________	yes___no___
	5. Documentation of and information collected at any initial or exit loan counseling.	______________	yes___no___
	6. The amount, date and basis of the calculation of any refund or overpayment paid to or on behalf of a student.	______________	yes___no___
	7. Any other record required for the school to document its compliance with applicable requirements with respect to the loan.	______________	yes___no___
General Provisions Act, sec. 443(a), as amended by P.L. 103-382; ◆668.24(e)(2)(ii)	SS. Unless questioned by an audit program review, investigation, or other review, does the institution maintain records and copies of reports for:	______________	yes___no___
	▸ ●three years?		
	▸ ◆three years from the end of the award year in which the records are submitted ?		

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Items marked ◆ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	Note: Minimum record retention requirements were changed to three years as a result of statutory amendments made by the Improving America's Schools Act of 1994. In February, 1996, ED issued guidance making the three-year period applicable to all records, regardless of when the records were established.		
General Provisions Act, sec. 443(a), as amended by P.L. 103-382; ✦668.24(e)(2)(i)	TT. Unless questioned by an audit, program review, investigation, or other review, does the institution maintain records relating to a student or parent borrowers eligibility and participation in the FFEI or Direct Loan Program for three years after the end of the award year in which the student last attended the institution?	______________	yes___no___
●685.309(c)(3) ✦668.24(e)(3)	▸ Does the institution keep all records involved in any loan, claim, or expenditure questioned by a Title IV audit, program review, investigation, or other review until: ▸ ● the audit questions are resolved? ▸ ✦the later of: ▸ the resolution of the questioned loan, claim or expenditure; or ▸ the end of the retention period applicable to the record?	______________	yes___no___

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Other Recommended Good Practices for the Administration of the Direct Loan Program

Practice	**Comments**
1. The institution should be familiar with the rights and responsibilities of the borrower [Section 685.206], and should include this information in its loan counseling.	
2. The institution should ensure that the student has explored all other sources of aid, and should caution the student to borrow the minimum amount needed.	
3. Students should be encouraged to consider what the amount of their monthly repayments will be, as well as what their income is likely to be.	
4. The importance of maintaining complete, accurate, and up to date information about their loans should be emphasized to students.	
5. Institutions that are lenders should attempt to meet with the borrower to ensure that he/she understands his/her rights and obligations before making an initial disbursement.	

Comments on the Administration of the Direct Loan Program

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IX. Health Professions Student Loans (HPSL)

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
	A. Does the institution have a copy of the Student Financial Aid Guidelines and copies of HHS Policy Memoranda to be used in fulfilling compliance requirements?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 303.5.5	B. Do both the financial aid administrator and the fiscal officer have a copy of the current application for funds; the current Notice of Award; the most recent Annual Operating Report; other required reports?	____________	yes___no___
57.203	C. Does the institution complete the application for Federal capital contribution if the Secretary requests it?	____________	yes___no___
57.205(a)	D. Are the Federal capital contributions received by the institution, if any, identified in a special account at the school?	____________	yes___no___
	1. Is the account used by the school only for: ▸ Health Professions Student Loans (HPSL) and Primary Care Loans (PCL) to full-time students; ▸ capital distribution as provided in Section 743 of the Act or as agreed to by the school and the Secretary; and ▸ costs of litigation; and, ▸ to the extent specifically approved by the Secretary, other collection costs that exceed the usual expenses incurred in the collection of HPSLs and PCLs?	____________	yes___no___
	2. Does the account contain monies representing the Institutional Capital Contribution (ICC) at all times?	____________	yes___no___
	3. Are the account funds maintained in an interest bearing account or investment instrument that meets OMB requirements?	____________	yes___no___
	4. Does the school review the fund at least semi-annually to determine if the fund balance with projected levels of expenditures and collections exceeds its needs?	____________	yes___no___

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Items marked ◆ are effective beginning 1997-98.

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Reference	Question	Responsible Office	Response
	a. If monies in excess are identified, are they reported and the federal share returned to the federal government?	____________	yes___no___
57.206(a),(b)	E. Does the institution determine eligibility of the student borrower for a HPSL according to the following regulatory and statutory requirements:		
	1. Degree and Discipline: Is HPSL awarded only to full-time students working toward degrees in allopathic medicine; osteopathic medicine; dentistry; podiatric medicine; optometry; veterinary medicine; and bachelor's or doctoral degrees in pharmacy?	____________	yes___no___
	a. Are allopathic and osteopathic medical students only considered eligible for HPSL if they first obtained HPSL funds prior to July 1, 1993? *Note: Allopathic and osteopathic medical students who had not borrowed under HPSL as of 7/1/93 may not borrow HPSL; however, they may be considered for Primary Care Loan.*	____________	yes___no___
Student Financial Aid Guidelines, Sec. 103.3.14	2. Financial Need: Is HPSL eligibility limited to students demonstrating financial need?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 103.3.141	a. Is financial need determined by a Department of Education federal need analysis methodology using, regardless of the tax status of the student, the expected contribution from parents, spouse, self, or other family members?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 103.3.142	b. Is an expected contribution from parents considered when determining financial need for ***all*** students, regardless of the age, marital status, or tax filing status of the student, unless the parents are deceased?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	c. Does the aid administrator document professional judgment adjustments of a student's family contribution to more realistically reflect the family's ability to meet educational costs?	____________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
57.206(a)(1)(i)	3. Citizenship: Does the institution ensure that all recipients are citizens or nationals of the United States, or are permanent residents of U.S., Republic of Palau, Republic of the Marshall Islands, the Federated States of Micronesia, the Commonwealth of Northern Marianas, American Samoa, or are lawful permanent residents of Puerto Rico or Guam?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 303.5.5	a. If the borrower is not a U.S. citizen, is permanent residency documented with an original I-551 or I-151 card? (The Department of Education data match with INS is not acceptable documentation for HHS funds.)	____________	yes___no___
	4. Academic Standing: Are all recipients capable of maintaining good academic standing in the program?	____________	yes___no___
57.206(a)(1)(v)	5. Selective Service: If required to do so, are all applicants registered for Selective Service?	____________	yes___no___
	6. Financial aid transcript: Have all recipients submitted a financial aid transcript from other previously attended institutions?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	*Note: Beginning with award year 1996-97 schools have three options for complying with this requirement. Schools may: query the NSLDS only; collect a paper financial aid transcript only; or, query the NSLDS to obtain Department of Education data, and request a paper financial aid transcript to obtain information on HHS programs.*		
57.206(b)(2)	F. When awarding HPSL, are the costs reasonably necessary for the student's attendance at the school considered, including any special needs and obligations directly affecting the student's ability to attend the school on a full-time basis?	____________	yes___no___
57.207	G. Have maximum loan limits been observed? That is, $2500 plus the cost of tuition for a 9-month school year? (Note: for 12-month enrollment, amount may be proportionately increased.)	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
57.206(b)(2)	H. Are the criteria for determining these costs documented?	____________	yes___no___
	1. If unusual circumstances warrant an adjustment to a student's cost of attendance, are these adjustments documented?		yes___no___
PL 103-433 Sec. 722(a), Campus-based Policy Memorandum, 96-1	2. Is the institution aware that HPSL awards to 3rd and 4th year medical and osteopathic medical students may be increased to pay balances of student loans for attendance at the school through programs other than HPSL, LDS or PCL?	____________	yes___no___
	a. If the school increases an HPSL, PCL or LDS award to pay a student's loan balances, does the check include as a payee the lender or holder of the loan(s) being repaid?	____________	yes___no___
	i. Is there a clear audit trail showing that the funds are disbursed on behalf of the student to repay educational loans and that the loan must be repaid by the student under the terms of the promissory note?		
57.208(c)(1)	I. At the time the loan is made, does the institution disclose to the borrower all information required by Sec. 57.208(c)(1)?	____________	yes___no___
57.208(c)(3)	J. Does the institution comply with Truth-in-Lending Regulation Z (12 CFR Part 226)?	____________	yes___no___
57.208(c)(2)	K. Prior to the borrower's completing or terminating studies at the school, does the institution disclose to the borrower the following information: ▸ the amount of each HPSL borrowed by the student; ▸ the total amount of HPSL borrowed by the student; and ▸ a repayment schedule including the number, amount, and frequency of payments to be made?	____________	yes___no___

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Reference	Question	Responsible Office	Response
57.208(a); *Student Financial Aid Guidelines*, Sec. 101.3.51	L. Is each student borrower required to sign a promissory note prior to the disbursement of funds?	______________	yes___no___
57.216(a)	M. Does the institution consider delinquent all accounts overdue by more than 120 days?	______________	yes___no___
57.208	N. Does the institution use a promissory note which is approved by the Secretary that contains the applicable interest rate, provision of acceleration clause?	______________	yes___no___
57.208(a)(3),(c)(3)	1. Is a copy of the note and the Truth-in-Lending documents supplied by the school to the borrower?	______________	yes___no___
57.208(c)(3) 12 CFR 226.17, 18	2. Is the institution using the Truth-in-Lending disclosure forms required by 12 CFR 226.17 and .18?	______________	yes___no___
57.208(b)	O. Does the school require security or endorsement only if the borrower is a minor and a note signed by him/her would not create a binding obligation under applicable state law?	______________	yes___no___
57.208(a)	P. Are promissory notes properly safeguarded against fire, theft and tampering?	______________	yes___no___
57.210(a)	Q. Is the institution in compliance with repayment and collection of HPSL requirements including at least a quarterly repayment schedule (or monthly payment schedule for borrowers who are more than 60 days delinquent)?	______________	yes___no___
	R. In exercising due diligence in HPSL collections, does the institution --		
57.210(b)(1)	1. Follow procedures that are at least as extensive as those used in the collection of other student loans at the school?	______________	yes___no___
57.210(b)(1)(i)	2. Conduct and document an entrance interview (individually or in groups) with the borrower prior to disbursing funds in the academic year?	______________	yes___no___
57.210(b)(1)(i)	a. During the entrance interview, does the school obtain documentation indicating that the student is aware of his/her	______________	yes___no___

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Reference	Question	Responsible Office	Response
	rights and responsibilities, and collect personal information that could be used in locating the borrower should the borrower fail to notify the school of address changes?		
	3. Conduct and document an exit interview (individually or in groups) with the borrower prior to the termination of the borrower's studies?	______________	yes___no___
57.210(b)(1)(ii)	a. During the exit interview, is each borrower provided with information necessary to carry out terms of repayment; reminded of rights and responsibilities; and required to update personal information to be used in locating the borrower?	______________	yes___no___
57.208(c)(2)	b. When providing the borrower with repayment information, does the school inform the borrower of the amount of each individual loan borrowed, the total amount borrowed, and the repayment schedule?	______________	yes___no___
57.210(b)(1)(ii)	c. If the borrower terminates his/her studies without advance notice, does the school document attempts to provide borrower with content of exit interview and to secure updated information by mail?	______________	yes___no___
57.210(b)(1)(iii), (iv)	4. At least twice during the grace period, and one to three months prior to the expiration of a deferment period, notify the borrower of the impending repayment obligation?	______________	yes___no___
57.210(b)(1)(v)	5. Perform regular billing?	______________	yes___no___
57.210(b)(1)(vi)	6. Document four attempts to contact the borrower when payments are past due, if the school has the student's current address? These attempts must be at not more than 30 day intervals prior to the loan becoming 120 days past due? (At least three attempts must be made in writing.)	______________	yes___no___

Reference	Question	Responsible Office	Response
57.210(b)(1)	7. Use collection practices generally accepted among institutions of higher education and that are at least as extensive and effective as those used in the collection of other student loan accounts due the school?	____________	yes___no___
57.210(b)(1) (i),(ii)	S. Does the institution conduct and document appropriate entrance and exit interviews with each borrower?	____________	yes___no___
57.215(a)	T. Does the institution submit the Annual Operating Report and Debt Management Report to the Secretary each year within 45 days of the close of the reporting period and retain a copy of these reports or 5 years?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 303.1.3	U. Does the institution submit a Financial Status Report at the end of the fiscal year in which funds were awarded?	____________	yes___no___
57.215(b),(c)	V. Does the institution retain complete student records for five years after full-time enrollment ceases, and retain repayment records for five years after the date of retirement of the loan? (Unlike the Department of Education, the Department of Health and Human Services five-year record retention requirement has NOT changed to three years.)	____________	yes___no___
	1. In cases where questions have arisen as a result of a Federal audit, does the institution retain affected records until resolution of all audit questions?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 304.1.1 57.215(a)(3)	W. Are procedures and records established to provide for a detailed biennial audit as required under Section 705 of the Public Health Service Act?	____________	yes___no___
57.216(a)	X. Has the institution developed strengthened record keeping and collections procedures to comply with the performance standards for the HPSL program? (Specifically, performance standards relating to the maximum default rate allowed?)	____________	yes___no___
57.206(d)	Y. Does the institution have procedures in place to verify the accuracy of the data on the student's federal need analysis output document?	____________	yes__no__

Reference	Question	Responsible Office	Response
57.210(b)(2)	Z. Does the institution assess a late charge (not to exceed 6% of the amount due) if a borrower fails to pay all or any part of an installment when the loan is more than 60 days past due and, in the case of a borrower entitled to deferment, for any failure to file a satisfactory evidence of entitlement to deferment within 60 days of the due date?	____________	yes___ no___

Comments on the Administration of the Health Professions Student Loan Program __________

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Items marked ◆ are effective beginning 1997-98.

X. Primary Care Loans (PCL)

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
	A. Does the institution have a copy of the Student Financial Aid Guidelines and copies of HHS Policy Memoranda to be used in fulfilling compliance requirements?	____________	yes___no___
PHS Act, Sec. 723(b)(1)	B. In managing and administering the PCL program, does the institution comply with all regulatory and statutory requirements established for the Health Professions Student Loan (HPSL) program?	____________	yes___no___
	C. In addition to the eligibility criteria established for HPSL, does the institution also ensure that all PCL recipients meet the criteria listed below:		
PHS Act, Sec. 723(a)	1. Are enrolled full-time at a public or non-profit institution in a program leading to a degree in allopathic medicine or osteopathic medicine?	____________	yes___no___
PHS Act, Sec. 723(a)(2)(A)(i)	2. Have not received a HPSL loan prior to July 1, 1993?	____________	yes___no___
PHS Act, Sec. 723(a)(1)(A)	3. Have agreed to enter and complete a residency training program in primary health care not later than four years after the date on which the borrower graduates from the institution and practice primary health care through the date on which the loan is repaid in full?	____________	yes___no___
Federal Register, Notice, February 26, 1993; PHS Act, Sec. 723(a)	D. Does the process for selecting PCL recipients include: • a committee that has representation from each of the primary health care disciplines; and • a system to fully educate students about each of primary care career and to evaluate candidates in relation to their commitment to generalist and preventive medicine practice and other pertinent factors?	____________	yes___ no___
Campus-based Policy Memorandum, 96-1	E. Has the school identified (an) official(s) who can respond to student questions about the PCL program?	____________	yes___no___

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Reference	Question	Responsible Office	Response
	F. Has the school identified procedures it will use for certifying compliance with the service obligation and assuring that each recipient understands the responsibility to comply with the procedures?	____________	yes___no___
	G. Has the school established internal procedures for dealing with recipients who fail to comply with the service agreement?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	H. In addition to the award letter, are recipients required to sign a PCL promissory note obligating the recipient to serve as a primary care health provider?	____________	yes___no___
	1. Does the school maintain the original promissory in their files?	____________	yes___no___
	2. Does the school monitor compliance with the primary care health provider requirement?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	I. After the borrower completes medical school does the school require the borrower to submit self-certification of compliance with the service obligation?	____________	yes___no___
	1. At minimum, does the self-certification include a statement that the recipient is practicing primary care in accordance with the terms of the PCL promissory note and is the statement signed and dated by the borrower?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	J. Does the institution consider the student "in default" of the primary care service obligation at the time that the student: • enters subspecialty training; • fails to be able to complete a primary care residency within 4 years of graduation; • fails to practice primary care; or • fails to document residency status or primary care practice within 120 of the original due date?	____________	yes___no___

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PRIMARY CARE LOANS (PCL)

Reference	Question	Responsible Office	Response
Campus-based Policy Memorandum, 96-1	K. If PCL and HPSL funds are maintained together in the same account, does the school have a separate record keeping procedure for PCL, including a separate general ledger account?	____________	yes___no___
Campus-based Policy Memorandum, 96-1; PHS Act, Sec. 723(b)(6)	L. Beginning with the June 30, 1996 report, does the institution submit the Annual Operating Report to the Secretary which includes information on the number of students who graduated 3 years prior; and the number of those graduates who were in primary care residency or practice during the their third post-graduate year?	____________	yes___no___

Comments on the Administration of Primary Care Loans ________________________________

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Comments on the Administration of Primary Care Loans (contd.)

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XI. Loans for Disadvantaged Students (LDS)

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
	A. Does the Institution have a copy of the Student Financial Aid Guidelines and copies of HHS Policy Memoranda to be used in fulfilling compliance requirements?	____________	yes___no___
Federal Register Notice, 10/1/91	B. In managing and administering the LDS program, does the institution comply with all regulatory and statutory requirements established for the Health Professions Student Loan program?	____________	yes___no___
PHS Act, Sec. 724(b)(1), (e)	C. In addition to meeting the eligibility requirements established for the HPSL program, does the institution only consider students from disadvantaged backgrounds as defined by the Secretary of Health and Human Services when awarding LDS?	____________	yes___no___
PHS Act, Sec. 724(b)(1)	D. Does the institution carry out recruitment and retention programs for students from disadvantaged backgrounds, including ethnic and racial minorities?	____________	yes___no___
PHS Act, Sec. 724(b)(2)	E. Does the institution have a program for recruiting and retaining minority faculty?	____________	yes___no___
PHS Act, Sec. 724(c)(1)	F. Does the institution's curricula include adequate instruction in minority health issues, specifically, course work reflecting an awareness of the special needs of minority health populations?	____________	yes___no___
PHS Act, Sec. 724(c)(2)	G. Does the institution have an arrangement with one or more health clinics that provide services to a significant number of individuals from minority groups, so that students can gain experience providing clinical services to individuals from disadvantaged backgrounds?	____________	yes___no___
PHS Act, Sec. 724(c)(3)	H. Does the institution have an arrangement with one or more public or non-profit private secondary schools and undergraduate institutions of higher education to provide academic preparation to disadvantaged students, including minority students, for entry into health professions programs, and to recruit students into these programs?	____________	yes___no___

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Reference	Question	Responsible Office	Response
PHS Act, Sec. 724(c)(4)	I. Does the institution have a mentoring program to assist disadvantaged students, including minority students, in completing the requirements necessary to earn a health professions degree?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 102.2.221	J. If interested in receiving FCC for the LDS program, does the institution annually submit an application requesting these funds?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 102.2.223	K. Has the institution designated individuals who are responsible for administering the LDS program?	____________	yes___no___
Federal Register Notice, 10/1/91	L. As loans made from the LDS fund are repaid, is the money returned to the fund and used solely for support of students from disadvantaged backgrounds through the LDS program?	____________	yes___no___
Federal Register Notice, 10/1/91	M. Does the institution maintain separate accountability for LDS funds?	____________	yes___no___

Comments on the Administration of Loans for Disadvantaged Students ____________________

XII. Health Education Assistance Loan Program (HEAL)

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
60.50(a)	A. Has the institution signed a written HEAL participation agreement and an insurance contract with the Secretary of the Department of Health and Human Services?	____________	yes___no___
60.5	B. Does the institution determine student eligibility for HEAL funds according to the following regulatory requirements:		
Policy Memoranda, S-96-1, S-96-4, S-96-7	1. Continuing borrowers: Does the school approve HEAL funds only for applicants who had previously borrowed Federal HEAL funds prior to October 1, 1995?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.3.11	2. Citizenship status: Does the school approve HEAL funds only for citizens or nationals of the United States, and lawful permanent residents of the United States, Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, Palau, or the Northern Mariana Islands?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.2.332	a. Are eligible non-citizens asked to submit original documentation of citizenship status to the institution, and is a copy of that documentation sent to the HEAL lender along with the student's initial HEAL application?	____________	yes___no___
60.51; *Student Financial Aid Guidelines*, Sec. 104.2.332	i. Does the institution accept only an original I-551 or I-151 card as documentation of eligible non-citizenship status? (The Department of Education database match with INS is not acceptable documentation for HEAL purposes.)	____________	yes___no___
Policy Memorandum, S-95-13	ii. Is the institution aware that a student is ineligible for HEAL if the I-551 or I-151 card shows Class Code "CR"? (Exception: Effective June 22, 1995, despite a CR Class Code, a non-citizen is eligible if he or she presents the following:	____________	yes___no___

Reference	Question	Responsible Office	Response
	▸ a Notice of Removal of Conditional Basis of Lawful Permanent Residence from INS; and ▸ a document stamped with the words "Processed for I-551. Temporary Evidence of Lawful Admission for Permanent Residence along with a handwritten adjustment status and initials of an INS official.) When the new I-551 is received, it should be shown to the aid administrator, who must send a copy to the lender.)		
60.5; *Student Financial Aid Guidelines*, Sec. 104.3.12	3. Academic status: Is the student enrolled or accepted for enrollment as a full-time student in a participating institution? If the student is enrolled, is he/she in good standing?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.3.13	4. Enrollment status: Is the student enrolled in one of the following programs: doctor of allopathic medicine, osteopathic medicine, dentistry, veterinary medicine, optometry, podiatric medicine, or chiropractic; bachelor's or master's in pharmacy; master's or doctoral degree in health administration; graduate or equivalent degree in public health; doctoral degree in psychology.	____________	yes___no___
60.5; *Student Financial Aid Guidelines*, Sec. 104.3.131	a. For pharmacy students, does the institution certify a HEAL loan only after the student has satisfactorily completed three years of training toward a pharmacy degree?	____________	yes___no___ n/a___
60.5; *Student Financial Aid Guidelines*, Sec. 104.3.132	b. For condensed programs combining an undergraduate program with a medical, osteopathic medical or dentistry program, does the institution only approve HEAL for the last four years of the student's program?	____________	yes___no___ n/a___
Student Financial Aid Guidelines, Sec. 104.3.133	c. For multiple degree allopathic medical programs (such as an MD/Ph.D., MD/JD, MD/MPH) are students in the	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
	program approved for HEAL only when they are pursuing the MD portion of the program as full-time students?		
Student Financial Aid Guidelines, Sec. 104.3.15	5. Selective Service: Are all students registered for the Selective Service if required under the Military Selective Service Act?	____________	yes___no___
60.5, 60.51	6. Financial Need: Does the institution insure that borrowers do not exceed the lesser of their financial need or legal maximum loan limit under the program?	____________	yes___no___
60.10	a. Is HEAL eligibility based on standard costs of attendance for a period not to exceed one academic year?	____________	yes___no___
60.51(f)(2)	i. Does the institution maintain a general record of the criteria used to develop standard student budgets?	____________	yes___no___
60.51	ii. Does the institution use the same budgets to award HEAL funds as it does for other programs (such as Title IV funds?)	____________	yes___no___
60.51	iii. If HEAL origination fees are incorporated into the student's budget, does the amount only include fees for which the student is responsible? (The amount that the institution must pay, if any, should not be included.)	____________	yes___no___ n/a___
60.51	iv. When an aid administrator makes adjustments to the standard student budget to reflect individual circumstances, is justification for the adjustments described in writing, along with at least one applicable outside document which is signed and dated by the aid administrator?	____________	yes___no___
60.51	b. In determining financial need, is a family contribution obtained from an approved need analysis system, and are	____________	yes___no___

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Reference	Question	Responsible Office	Response
	any adjustments that are made to the need analysis documented in the student's record?		
60.51(f)(1), 60.56(a)(4); *Student Financial Aid Guidelines*, Sec. 104.2.361	c. In determining financial need, does the institution consider other student resources and other financial aid awarded to the student, and maintain that data in the student's record?	______________	yes___no___
60.51(f); *Student Financial Aid Guidelines*, Sec. 104.3.2	d. Does HEAL loan eligibility only reflect expenses directly related to the borrower's education, not to exceed annual/aggregate loan limits as follows:		
	i. Medicine, osteopathic medicine, dentistry, veterinary medicine, optometry, or podiatric medicine, a maximum of $20,000 in any academic year and up to $80,000 aggregate?	______________	yes___no___
	ii. Public health, pharmacy, chiropractic, or a graduate program in health administration, clinical psychology, or allied health, a maximum of $12,500 per academic year, up to $50,000 aggregate?	______________	yes___no___
PL 102-408, Sec. 705(a)(1)(A)	7. Educational Purpose: Has the student agreed to use HEAL funds solely for tuition, fees, books, lab expenses and reasonable living expenses?	______________	yes___no___
60.33	8. Default Status: Is the institution aware that borrowers who are in default or delinquent on federal obligations are considered ineligible for HEAL? (The borrower may be considered eligible if the lender is given documentation from the affected federal education certifying that satisfactory repayment arrangements have been made.)	______________	yes___no___
60.51(d) 60.56(a)(14) 60.33(c)	a. Is a financial aid transcript on file from each institution a student attended at least a half-time and is the transcript reviewed to confirm that the student is not in default and does not owe a repayment of federal financial aid?	______________	yes___no___

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Reference	**Question**	**Responsible Office**	**Response**
Campus-based Policy Memorandum, 96-1	*Note: Beginning with award year 1996-97, schools have three options for complying with this requirement. Schools may: query the NSLDS only; collect a paper financial aid transcript only; or, query the NSLDS to obtain Department of Education data, and request a paper financial aid transcript to obtain information on HHS programs.*		
60.33	9. Creditworthiness: Is the institution aware that lenders will deny HEAL to a borrower who does not have a good credit record? (The absence of a credit history is considered good credit.)	____________	yes___no___
60.51(b), 60.61(a)(3); *Student Financial Aid Guidelines*, Sec. 104.2.33, 104.2.31	C. Does the institution verify the accuracy and completeness of the information provided on the student's HEAL application?	____________	yes___no___
	1. If the institution cannot resolve potential discrepancies found in the verification process, does the institution notify the potential lender of these discrepancies?	____________	yes___no___
60.61(a)(4)	D. Are documented procedures in place which keep check receipt and release functions separate from application and approval functions?	____________	yes___no___
60.52	E. Once the institution receives the check, does it adhere to prescribed procedures for handling HEAL checks as follows?		
60.52(a)(2)	1. If the check is received prior to the student's enrollment does the institution forward the check to the student to endorse and return to the institution?	____________	yes___no___
	a. Once the check is endorsed by the student, retain the funds due to the institution, and hold the remaining funds for disbursement to the student until he or she is enrolled, unless the student is unable to meet other educational expenses due before time of enrollment?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
60.52(a)(1)	2. If the check is received after the student is enrolled, does the institution obtain the student's endorsement, retain the portion of the funds due the institution, and disburse the remaining funds to the student?	____________	yes___ no___
60.52(b)	a. If the check is received after the institution determines that the student does not plan to enroll, return the check to the lender within 30 days of this determination?	____________	yes___ no___
60.56(d)	F. Does the institution maintain written procedures for the receipt, verification of amount, and disbursement of HEAL checks or drafts?		
Policy Memorandum, S-95-03	G. If the institution receives HEAL funds from the lender via Electronic Funds Transfer (EFT), does the institution:		
	1. Have a written contract with the lender, executed before the commencement of EFT, stating that each party will comply with all provisions in Policy Memorandum S-95-03, as well as applicable HHS requirements?	____________	yes___ no___ n/a___
	a. Is a copy of Policy Memorandum S-95-03 attached to the contract?	____________	yes___ no___ n/a___
	2. Have a restricted account designated for receipt of student loan proceeds, and maintained in accordance with Policy Memorandum S-95-03?	____________	yes___ no___ n/a___
	3. Obtain, from each borrower, written authorization for the release of funds via EFT?	____________	yes___ no___ n/a___
60.56	4. Maintain, for at least 5 years after the borrower's last date of attendance, disbursement information in accordance with 42 CFR Part 60.56, including evidence that funds were transferred and disbursed?	____________	yes___ no___ n/a___
Policy Memorandum, S-95-03	5. Employ adequate reporting procedures to meet requirements outlined in Policy Memorandum S-95-03?	____________	yes___ no___ n/a___

Reference	Question	Responsible Office	Response
Student Financial Aid Guidelines, Sec. 104.2.45	H. Does the institution request HEAL disbursements in amounts that correspond to the borrower's educational expenses for the period in which the disbursement is made?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.2.47	I. If the borrower's need decreases before the second disbursement is made, does the institution notify the lender, in writing, of the amount of the decrease?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.2.47	J. If, before the second disbursement of HEAL funds has been made, the institution determines that the borrower's need has decreased, is the check returned to the lender so that a new check can be issued? (To *increase* a borrower's HEAL after it is approved, the borrower must submit a new application for the additional amount.)	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.2.3635	K. Does the institution determine and document that HEAL loans disbursed within 60 days *of graduation* are only made on unpaid costs or expenses that have been covered by short-term financing arrangements which must be repaid?	____________	yes___no___
	1. Is the institution aware that HEAL may not be used to pay graduation costs, such as moving to a residency site or setting up a practice?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 104.2.3634	L. Does the institution determine and document that HEAL loans disbursed within 60 days of the *end of the academic year* are only for academic year costs that have not been paid at the time of application?	____________	yes___no___
	1. Is the institution aware that HEAL cannot be borrowed to cover cash advances from credit cards to pay educational expenses?	____________	yes___no___
60.53	M. Within 30 days of a student's change in enrollment status, does the institution notify the holder of a student's HEAL loan (or the HEAL Program Office if the identity of the current holder of the loan is unknown) of the change?	____________	yes___no___
60.53	1. Does the notification contain the student's latest known permanent and temporary addresses, the student's full name, social security number and date of status change?	____________	yes___no___

Reference	Question	Responsible Office	Response
60.53	2. If the holder of the loan is unknown, does the institution notify the HEAL Program Office of the change in enrollment status?	____________	yes___no___
60.55	N. Does the institution have administrative and fiscal procedures ensuring:		
	1. Proper, efficient administration of funds received from students with HEAL loans?	____________	yes___no___
	2. Protection of the rights of students under the HEAL program?	____________	yes___no___
	3. Protection of the U.S. Government from unreasonable risk of loss due to defaults?	____________	yes___no___
	4. Compliance with all HEAL program requirements?	____________	yes___no___
60.54	O. If the borrower withdraws, is dismissed, or takes a leave of absence, does the institution have procedures to pay that portion of a refund that is allocable to a HEAL loan directly to the original lender (or to a subsequent holder of the loan note, if the institution has knowledge of the holder's identity) and simultaneously provide written notice to the borrower?	____________	yes___no___ n/a___
	1. Are canceled HEAL funds returned to the lender within 120 days of disbursement, indicating "returned after disbursement"?	____________	yes___no___ n/a___
	2. If HEAL funds are not disbursed to the borrower, are the funds returned to the lender within 60 days of the disbursement date, indicating "returned prior to disbursement"?	____________	yes___no___ n/a___
	3. When returning loan proceeds to the lender, does the institution provide the following information with each return: borrower name, social security number, reason for return, amount and date funds were returned to lender?	____________	yes___no___
60.57	P. Does the institution submit reports to the Secretary within the time requirements specified in 60.57, and is a copy of each report retained for not less than 5 years following completion?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
Policy Memorandum, S-95-6; *Student Financial Aid Guidelines*, Sec. 104.2.43	Q. At the beginning of each academic year, does the institution conduct an annual workshop concerning the HEAL Loan, in accordance with requirements specified in Policy Memorandum S-95-6?	____________	yes___no___
	1. Are all HEAL borrowers required to attend the workshop, or, if it is impossible for a borrower to attend (for example, due to rotation schedules) does the institution mail the materials to the borrower?	____________	yes___no___
	2. If the school's HEAL default rate exceeds 5%, does the school:		
	a. Use the *Debt Management Workbook* or a similar financial planning document as the basis for the workshop?	____________	yes___no___
	b. Include in any default management plan submitted during or after the award year a detailed outline of the annual HEAL workshop, including format, content and resources used?	____________	yes___no___
60.61(a)(1), 60.56(a); *Student Financial Aid Guidelines*, Sec. 104.2.42	R. Does the institution conduct and document an entrance interview with each borrower, individually or in groups, prior to the first HEAL disbursement of the academic year? (At the school's option, the entrance interview may be conducted as part of, or in conjunction with, the annual workshop, or may be given separately.)	____________	yes___no___
	1. During the entrance interview, is the borrower informed of his or her rights and responsibilities, including consequences for noncompliance with responsibilities?	____________	yes___no___
	2. Does the institution collect personal information during the entrance interview that would assist in locating the borrower if the borrower leaves the institution without an exit interview?	____________	yes___no___
	3. If a face-to-face entrance interview is impractical, does the institution meet the entrance interview requirement through correspondence?	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	4. In cases where the entrance interview is met through correspondence, does the institution require that the completed entrance interview materials be returned prior to disbursing the HEAL check?	____________	yes___no___
60.61(a)(2), 60.56(a); *Student Financial Aid Guidelines*, Sec. 104.4.2	S. Does the institution conduct and document an exit interview with each borrower, individually or in groups, within the final academic term prior to his or her anticipated graduation or other departure date from the institution?	____________	yes___no___
60.61(a)(2)	1. During the exit interview does the institution give at least the same rights and responsibilities information, and collect the same personal data, as is required for the entrance interview?	____________	yes___no___
60.61(a)(2)	2. Within 30 days of the exit interview, is a copy of the exit interview documentation, including the personal "skip-tracing" information, sent to the lender or holder of the loan?	____________	yes___no___
60.61(a)(2)	3. If a borrower leaves the institution without an exit interview, does the institution mail exit interview information within 30 days of the earlier of the institution's knowledge of the student's departure date, or the anticipated departure date, and request that required student information be forwarded by the student to the lender?	____________	yes___no___
60.56, 60.42	T. For each HEAL borrower, does the institution maintain, for not less than five years (unless otherwise directed by the Secretary) after the date the student graduates, withdraws, or fails to enroll full-time, an easily retrievable record containing all of the following that apply:		
	1. The student's name and address?	____________	yes___no___
	2. The student's academic standing?	____________	yes___no___
	3. The student's period of attendance?	____________	yes___no___
	4. The name of the HEAL lender?	____________	yes___no___
	5. The amount of the HEAL loan?	____________	yes___no___

Reference	Question	Responsible Office	Response
	6. The period for which the HEAL loan was intended?	____________	yes___no___
	7. The amount and source of any other financial aid received by the student for the period for which the HEAL loan was made?	____________	yes___no___
	8. The date the institution received the HEAL check or draft and the date it is either given to the student or returned to the lender?	____________	yes___no___
	9. The date the institution disburses a loan to a student (in the case of a institution that is the lender)?	____________	yes___no___
	10. The date the institution signs the loan check or draft (if the institution is a copayee)?	____________	yes___no___
	11. The amount of tuition, fees and other charges paid by the student to the institution for the academic period covered by the loan and the dates of payment?	____________	yes___no___
	12. A copy of each form used by the institution in connection with the loan?	____________	yes___no___
Policy Memorandum #3, 9/15/87	13. Photocopies of each HEAL check or a disbursement roster containing the same information that appears on the check?	____________	yes___no___
60.56(a)	14. The borrower's expected post-graduate destination?	____________	yes___no___
	15. Documentation of entrance interview including the date and signature of the borrower?	____________	yes___no___
	16. Documentation of exit interview including the date and borrower's signature, or documentation that the institution mailed exit interview materials if the student failed to report for the exit interview?	____________	yes___no___
Policy Memorandum #1, 4/9/87	17. Documentation of eligible non-citizen status, such as a photocopy of I-151 or I-551?	____________	yes___no___

Reference	**Question**	**Responsible Office**	**Response**
60.56(a)	18. Documentation of calculations used to compare the applicant's financial resources with his or her cost of education at the institution?	____________	yes___no___
	19. The standard budget used for the student, and documentation to support any adjustments made to the budget?	____________	yes___no___
	20. Copies of borrower's financial aid transcript(s)?	____________	yes___no___
	21. Copies of all HEAL-related correspondence between the institution and the borrower or the institution and the lender?	____________	yes___no___
60.56(c) PHS Act Sec. 705	22. Does the institution comply with the biennial audit requirement?	____________	yes___no___
	23. Are procedures and records established in such manner as to provide for a detailed audit?	____________	yes___no___
Student Financial Aid Guidelines, Secs. 104.2.154; 303.2.33	U. If the school's default rate is greater than five percent, but no more than 20 percent, does the school prepare and submit for approval to the Division of Student Assistance an annual default management plan?	____________	yes___no___ n/a___
Student Financial Aid Guidelines, Sec. 104.2.153	V. Is the school aware that it may pay off outstanding principal and interest owed by defaulted HEAL borrowers in order to reduce institutional default rates?	____________	yes___no___ n/a___

Comments on the Administration of the Health Education Assistance Loan Program ________

XIII. Nursing Student Loan Program

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
	A. Does the institution have a copy of the Student Financial Aid Guidelines and copies of HHS Policy Memoranda to be used in fulfilling compliance requirements?	____________	yes___no___
57.303(a)	B. Does the institution complete the application for federal capital contribution (FCC) when required by the Secretary?	____________	yes___no___
57.305	C. Has the institution established a special account in which FCC and institutional capital contributions for the NSL program are deposited to be used only for: ▸ funding nursing student loans to full-time and half-time students; ▸ capital distribution as agreed to by the school and the Secretary; ▸ costs of litigation; ▸ costs associated with membership in credit bureaus; ▸ other collection costs; and ▸ other costs that exceed usual expenses incurred in NSL collections, as approved by the Secretary?	____________	yes___no___
	1. Does the institution review the fund semi-annually to determine whether the fund balance compared with projected expenditures and collections exceeds its needs?	____________	yes___no___
	2. Are monies that are in excess reported and returned to the federal government by the due date of the report which identifies the excess?	____________	yes___no___
57.306	D. In selecting NSL recipients, does the institution ensure that applicants:		
57.306(a)(1)(ii)	1. Are enrolled or accepted for enrollment at least half-time?	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

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Reference	Question	Responsible Office	Response
57.306(a)(1)(iii) 57.306(b)(2)(i)	2. Have demonstrated financial need as determined by a national need analysis service approved by the Secretary of Education?	____________	yes___no___
57.306(a)(1)(iv)	3. Are capable of maintaining good standing?	____________	yes___no___
57.306(a)(2)	4. Have submitted a financial aid transcript (for applicants who previously attended another institution of higher education)?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	*Note: Beginning with award year 1996-97, schools have three options for complying with this requirement. Schools may: query the NSLDS only; collect a paper financial aid transcript only; or, query the NSLDS to obtain Department of Education data, and request a paper financial aid transcript to obtain information on HHS programs.*		
57.306(b)	E. Does the institution give priority to nursing students demonstrating exceptional financial need?	____________	yes___no___
57.306(b)	F. Are licenced practical nurses given preference for NSL funding?	____________	yes___no___
57.306(c)	G. Does the institution have procedures in place to verify the accuracy of data on the student's loan application?	____________	yes___no___
57.307	H. Are the maximum annual loan limits observed? (For a 9 month school year, the maximum limit is $2500 per year except for the final two years, when the maximum increases to $4000 per year. The award may be proportionately increased for 12-month enrollment.)	____________	yes___no___
57.307	I. Is the $13,000 aggregate loan limit observed?	____________	yes___no___
57.308(a)	J. Is each student borrower required to sign a promissory note before the institution makes any advance?	____________	yes___no___
57.308(a)(1),(2)	1. Does the institution use an approved promissory note which includes the applicable interest rate and provision of acceleration clause?	____________	yes___no___

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Reference	Question	Responsible Office	Response
57.308(a)(3) 12 CFR 226.17, 18	2. Is a copy of each executed note supplied by the school to the student borrower along with the Truth-in-Lending disclosure forms required by 12 C.F.R. 226.17, 18?	______________	yes___no___
57.308(a)(3)	3. Is the signed promissory note safeguarded against theft, fire or tampering?	______________	yes___no___
57.308(b)	4. Is security or endorsement only required if the borrower is a minor and if, under State law, the note would not create a binding obligation without security or endorsement?	______________	yes___no___
57.309(b)	K. Are disbursements made such that no installment will exceed the borrower's need for that term or installment period?	______________	yes___no___
57.309(a)	L. Does the institution ensure that no payment is made to a borrower who is enrolled less than full-time?	______________	yes___no___
57.310(b)(1)(ii)	M. Does the institution conduct and document an exit interview (individually or in groups) with every borrower, or, if the student terminates without notice, does the institution attempt to inform the borrower of the substance of the exit interview and secure exit interview information by mail?	______________	yes___no___
	N. In exercising due diligence in NSL collections, does the institution:		
57.310(b)(1)	1. Follow procedures that are generally accepted among institutions of higher education and are at least as extensive as those used in the collection of other student loans at the school?	______________	yes___no___
57.310(b)(1)(i)	2. Conduct and document an entrance interview (individually or in groups) with the borrower prior to disbursing funds in the academic year?	______________	yes___no___
57.310(b)(1)(ii)	3. Conduct and document an exit interview (individually or in groups) with each borrower prior to the termination of the borrower's studies?	______________	yes___no___

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Reference	Question	Responsible Office	Response
57.310(b)(1)(ii)	a. During the exit interview, is each borrower provided with information necessary to carry out terms of repayment, reminded of rights and responsibilities, and required to update personal information to be used in locating the borrower?	____________	yes___no___
57.310(b)(1)(ii)	b. If the borrower terminates his/her studies without advance notice, does the school document attempts to provide the borrower with exit interview content and to secure updated information by mail?	____________	yes___no___
57.310(b)(1)(iii), (iv)	4. At least twice during the grace period, and one to three months prior to the expiration of a deferment period, notify the borrower of the impending repayment obligation?	____________	yes___no___
57.310(b)(1)(v)	5. Perform regular billing?	____________	yes___no___
57.310(b)(1)(vi)	6. Make four documented attempts to contact the borrower when payments are past due if the school has the borrower's current address?	____________	yes___no___
	a. Are these attempts made at not more than 30 day intervals prior to the loan becoming 120 days past due?	____________	yes___no___
	b. Are at least three of these attempts made in writing?	____________	yes___no___
57.310(a)	O. Is the institution in compliance with the requirements for repayment and collection of NSLs including at least a quarterly repayment schedule (except when borrowers are delinquent more than 60 days; then a monthly payment schedule is required)?	____________	yes___no___
57.316(a)	P. Does the institution consider in default all accounts overdue by more than 120 days?	____________	yes___no___
57.316(a)	Q. Is the institution's default rate below the 5% maximum, and, if not, has the institution improved its procedures for record keeping and collections to comply with the performance standards for the NSL program, specifically the maximum default rate allowed?	____________	yes___no___

Reference	Question	Responsible Office	Response
57.315(a)	R. Does the institution submit reports to the Secretary within 45 days of the close of the reporting period?	____________	yes___no___
57.315(a)(2)	S. Does the institution retain complete student records for 5 years after full-time enrollment ceases and/or date of retirement of the loan?	____________	yes___no___
57.315(a)(3)	T. Does the institution retain complete repayment records for 5 years after the date of the retirement of the loan?	____________	yes___no___
57.313(c)	U. Is the determination as to whether a borrower is entitled to have any portion of his or her Nursing Student Loan canceled made by the institution upon receipt and evaluation of application for cancellation from the borrower?	____________	yes___no___
57.315(a)(1)	V. Are required fiscal records retained by the institution until such time, as agreed upon with the Secretary, that there is no further need for retention?	____________	yes___no___
PHS Act Sec. 705	W. Are procedures established to provide for a detailed biennial audit, in accordance with Sec. 705 of the Public Health Service Act?	____________	yes___no___

Comments on the Administration of the Nursing Student Loan Program ____________________

Comments on the Administration of the Nursing Student Loan Program (contd..)

XIV. Scholarships for Disadvantaged Students (SDS)

Prepared by_____ Date_____
Reviewed by_____ Date_____

Reference	Question	Responsible Office	Response
	A. Does the Institution have a copy of the Student Financial Aid Guidelines and copies of HHS Policy Memoranda to be used in fulfilling compliance requirements?	____________	yes___no___
	B. Does the institution determine eligibility of the student for SDS according to the following regulatory and statutory requirements?		
Student Financial Aid Guidelines, Sec. 106.3.12	1. Degree and Discipline: Is SDS awarded only to full-time students enrolled or accepted for enrollment in the following programs: ▸ allopathic medicine; ▸ osteopathic medicine; ▸ dentistry; ▸ podiatric medicine; ▸ optometry; ▸ veterinary medicine; ▸ bachelor's or graduate degrees in pharmacy or allied health; ▸ graduate degrees in public health or clinical psychology; or ▸ associate, diploma, baccalaureate or graduate degrees in nursing?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.13, 106.2.1101	2. Disadvantaged Background: When awarding SDS, does the institution only consider students from disadvantaged backgrounds as defined by the Secretary of Health and Human Services?	____________	yes___no___
PHS Act, Sec. 737(c)(2)	3. Financial Need: Is SDS awarded only to students demonstrating financial need?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.14	a. Is financial need determined according to the Department of Education's federal need analysis methodology using, regardless of the tax status of the student, the expected contribution from parents, spouse, self, or other family members?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.13	b. Is an expected contribution from parents considered when determining financial need for all students, regardless of the age, marital status, or tax filing status of the student, unless	____________	yes___no___

Reference	Question	Responsible Office	Response
	parents are deceased?		
Student Financial Aid Guidelines, Sec. 106.3.142	c. If the financial aid administrator adjusts elements used to calculate the expected family contribution because it does not realistically reflect the family's ability to meet educational costs, is this adjustment documented by the aid administrator?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.141	d. In determining financial need, does the institution consider estimated resources and other financial aid, but exclude summer earnings, educational loans, veterans benefits and school year earnings?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.14	4. Is preference given to students for whom the cost of attending the school would constitute a severe financial hardship?	____________	yes___no___
57.206(a)(1)(i)	5. Citizenship: Does the institution ensure that recipients are: ▸ U.S. citizens or nationals; ▸ permanent residents of the U.S., Republic of Palau, Republic of the Marshall Islands, the Federated States of Micronesia, the Commonwealth of Northern Marianas, or American Samoa; or ▸ lawful permanent residents of Puerto Rico or Guam?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.142	C. When awarding SDS, are the costs reasonably necessary for the student's attendance at the school considered, including any special needs and obligations directly affecting the student's ability to attend the school on a full-time basis?	____________	yes___no___
57.206(b)(2)	1. Are the criteria for determining these costs documented?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.3.142	2. If unusual circumstances warrant an adjustment to a student's cost of attendance, are these adjustments documented?	____________	yes___no___
Student Financial Aid Guidelines,	D. Does the institution insure that each student's SDS award does not exceed the cost of tuition,	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference	**Question**	**Responsible Office**	**Response**
Sec. 106.3.2	other reasonable educational expenses and reasonable living expenses?		
Student Financial Aid Guidelines, Sec. 106.2.1101	E. Does the institution carry out recruitment and retention programs for students from disadvantaged backgrounds, including ethnic and racial minorities?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.1102	F. Does the institution have a program for recruiting and retaining minority faculty?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.1103	G. Does the institution's curricula include adequate instruction in minority health issues, specifically, course work reflecting an awareness of the special needs of minority health populations?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.1104	H. Does the institution have an arrangement with one or more health clinics that provide services to a significant number of individuals from minority groups, so that students can gain experience providing clinical services to individuals from disadvantaged backgrounds?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.1105	I. Does the institution have an arrangement with one or more public or non-profit private secondary schools and undergraduate institutions of higher education to provide academic preparation to disadvantaged students, including minority students, for entry into health professions programs, and to recruit students into these programs?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.1106	J. Does the institution have a mentoring program to assist disadvantaged students, including minority students, in completing the requirements necessary to earn a health professions degree?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.2	K. Does the institution annually submit an application requesting SDS funds?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 106.2.23	L. Has the school designated institutional officials who have responsibility for administering the SDS program, including an authorizing official; a financial aid administrator; and a fiscal officer?	____________	yes___no___

SCHOLARSHIPS FOR DISADVANTAGED STUDENTS (SDS)

Reference	**Question**	**Responsible Office**	**Response**
Student Financial Aid Guidelines, Sec. 106.3.7	M. Does the institution maintain student records as needed for audit purposes? (HHS recommends that the school maintain for the SDS program the same types of information as are maintained for the HPSL and NSL programs.)	____________	yes___no___
Student Financial Aid Guidelines, Sec. 304.1.1	N. Are procedures established to provide for a detailed biennial audit, in accordance with Sec. 705 of the Public Health Service Act?	____________	yes___no___

Comments on the Administration of Scholarships for Disadvantaged Students ____________

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Items marked ✦ are effective beginning 1997-98.

XV. Scholarships for Students of Exceptional Financial Need (EFN) and Financial Assistance for Disadvantaged Health Professions Students (FADHPS)

Prepared by______ Date______
Reviewed by_____ Date______

Reference	Question	Responsible Office	Response
	A. Does the institution have a copy of the Student Financial Aid Guidelines and is the financial aid and fiscal staff familiar with the program requirements outlined in that manual?	____________	yes___no___
57.1804; *Student Financial Aid Guidelines*, Sec. 105.3.14	B. For FADHPS only, does the institution consider as eligible only those students who come from disadvantaged backgrounds, as defined in Sec. 57.1804?	____________	yes___no___
57.2803(b)(1) 57.2904(b)(2) 57.2904(c)	C. To identify students who are eligible for EFN or FADHPS, does the institution rank students in order of greatest financial need?	____________	yes___no___
57.2804(c),(i) 57.2904(b)(1)(I); *Student Financial Aid Guidelines*, Sec. 105.3.131	D. Does the institution use the federal need analysis methodology approved by the Department of Education in determining financial resources of the student, parents, and, if applicable student's spouse?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 105.3.131	1. In determining available financial resources, does the institution exclude summer earnings, educational loans, veterans benefits, and school year earnings?	____________	yes___no___
57.2804(b)(3) 57.2904(b)(1)(ii)	E. Does the institution document the criteria used in developing student budgets?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 105.3.133	1. If adjustments to a student's budget are necessary, are they clearly documented?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	F. Does the process for selecting EFN and FADHPS recipients include: ▸ a committee that has representation from each of the primary health care disciplines; and ▸ a system to fully educate students about each of primary care career and to evaluate candidates in relation to their commitment to generalist and preventive medicine practice and other pertinent factors?	____________	yes___ no___

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Reference	**Question**	**Responsible Office**	**Response**
57.2804 57.2904	G. Do all scholarship recipients meet the following eligibility criteria:		
	1. Are all EFN or FADHPS recipients citizens or nationals of the United States, or permanent residents of U.S., Republic of Palau, Republic of the Marshall Islands, the Federated States of Micronesia, the Commonwealth of Northern Marianas, American Samoa, or are lawful permanent residents of Puerto Rico or Guam?	____________	yes___no___
	2. Are all FADHPS recipients enrolled or accepted for enrollment full time in a program leading to a degree in medicine, osteopathic medicine or dentistry?	____________	yes___no___
	3. Are all recipients enrolled or accepted for enrollment full-time in a program leading to a degree in medicine, osteopathic medicine or dentistry?	____________	yes___no___
	4. Do all recipients demonstrate exceptional financial need?	____________	yes___no___
	NOTE: Exceptional financial need is defined as a family contribution, including parental, spousal and student information, which does not exceed the lesser of $5000 or 1/2 the cost of attendance.		
57.1804; *Student Financial Aid Guidelines*, Sec. 105.3.14	5. If receiving FADHPS, does the student come from a disadvantaged background as defined by the Secretary?	____________	yes___no___
	a. Does the institution maintain documentation which indicates how recipients met the disadvantaged definition?	____________	yes___no___
57.904(b)(1)(i)	H. Does the institution obtain photocopies of parents', student's and spouse's tax returns with original signatures?	____________	yes___no___
	Note: Dept. of HHS recommends that these tax returns be used to verify information in the student's file, but it is not required.		

Reference	Question	Responsible Office	Response
PHS Act, Sec. 736(b)(2)	I. Does the institution award EFN and FADHPS in amounts which cover the cost of tuition, fees, books, supplies and laboratory expenses (but not living expenses)?	____________	yes___no___
PHS Act, Sec. 736(b)(2)	J. Does the institution award EFN and FADHPS in amounts which cover the cost of tuition, fees, books, supplies and laboratory expenses (but not living expenses)?	____________	yes___no___
	1. Is the institution aware that partial scholarships may not be made?	____________	yes___no___
	2. Is the institution aware that partial scholarships may not be made?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	a. After making awards, if a partial scholarship amount remains, is the school aware that it may request additional money from HHS, or may use institutional funds, to make up the difference? (Institutional funds that are used to make up the difference will become part of the debt owed to HHS in case of default.)	____________	yes___no___
	b. If a student drops out of school before using the entire scholarship, does the school either: ▸ request additional funds from HHS to make up a full award for another eligible student? ▸ otherwise, does the school return the funds to HHS?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 105.3.4	K. Once a student is determined eligible, is an award letter sent directly to the applicant which provides a space for the student to accept or reject the award?	____________	yes___no___
	1. Is a duplicate copy sent to the student for the student to maintain in his/her personal records?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 105.3.4	L. In addition to the award letter, are recipients required to sign a Primary Care Contract obligating the recipient to serve as a primary care health provider?	____________	yes___no___

Reference		**Question**	**Responsible Office**	**Response**
		1. Does the school maintain the original contract in their files?	____________	yes___no___
		2. Does the school monitor compliance with the primary care health provider requirement?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	M.	Has the school identified (an) official(s) who can respond to students' questions about the PCL program?	____________	yes___no___
57.2905(c)	N.	Does the institution make FADHPS disbursements according to the student's need for each academic period, rather than in one lump sum at the beginning of the academic year?	____________	yes___no___
Student Financial Aid Guidelines, Sec. 105.3.3		*Note: Dept. of HHS recommends that the institution disburse EFN according to the same procedures as FADHPS.*		
57.2807 57.2907	O.	Does the institution maintain a separate account for funds awarded and make payments only for purposes stated in the regulations?	____________	yes___no___
58.2807(b) 58.2907(b)	P.	Are payments terminated when the recipient ceases to be a full-time student or is not in good standing due to academic failure?	____________	yes___no___
		1. If the award is terminated before it is issued to the student, has the institution awarded the funds to another eligible student or, if no other eligible student can be located, return the funds to the federal government?	____________	yes___no___
58.2807(b) Campus-based Policy Memorandum, 96-1		2. If a student's award is terminated after one or more disbursements have been made, and an unused balance remains, does the institution either: ▸ request additional funds from HHS to make up an award for another student; or ▸ remit the excess funds to HHS for deobligation?	____________	yes___no___

Reference	Question	Responsible Office	Response
Campus-based Policy Memorandum, 96-1	Q. Has the school identified procedures it will use for certifying compliance with the service obligation and assuring that each recipient understands the responsibility to comply with the procedures?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	R. Once recipients graduate, are they required to submit an annual self-certification of compliance with the primary care service obligation until the obligation is met?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	S. Does the school consider a recipient in default on the primary care service obligation if he or she fails to: ▸ complete the program; ▸ enter an approved primary care residency (for allopathic or osteopathic medicine); ▸ be able to complete a primary care residency (for allopathic or osteopathic medicine); ▸ practice primary care; or ▸ document residency status or primary care practice within 120 days of the due date?	____________	yes___no___
	T. Within 30 days of the school determining that the recipient is in default, does the school report the defaulter to HHS?	____________	yes___no___
57.2810	U. Does the institution provide and pay for biennial financial audits of its books, accounts, financial records, files and other papers and property?	____________	yes___no___
57.2810	1. Is the audit conducted using generally accepted auditing standards?	____________	yes___no___
	2. Are audit reports filed with the Secretary of Health and Human Services?	____________	yes___no___
	3. Are procedures and records established in such manner as to provide for a detailed audit?	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

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Reference	Question	Responsible Office	Response
57.2809 57.2909	V. Does the institution maintain a record of all recipients of aid under this program which includes for each recipient: ▸ a copy of the total need analysis and determination of resources; ▸ documentation for any changes made to the need analysis report; ▸ documentation that the recipient met the eligibility requirements; ▸ a copy of the student budget used to determine the recipient's cost of attendance; and ▸ documentation of other sources of aid received by the recipient?	____________	yes___no___
57.2809 57.2909	W. Does the institution maintain a record of the amount of funds awarded to each recipient?	____________	yes___no___
57.2809 57.2909	X. Does the institution maintain a record of each institutional application for funding, including documentation to support the number of eligible students listed on each application and how they met the eligibility criteria?	____________	yes___no___
Campus-based Policy Memorandum, 96-1	Y. Beginning with the June 30, 1996 report, does the institution submit the Annual Operating Report to the Secretary which includes information on the number of students who graduated 3 years prior; and the number of those graduates who were in primary care residency or practice during the their third post-graduate year?	____________	yes___no___

Comments on the Administration of Scholarships for Students of Exceptional Financial Need and Financial Assistance for Disadvantaged Health Professions Students ______________

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

XVI. Bureau of Indian Affairs (BIA)

Prepared by______ Date______
Reviewed by_____ Date______

Note: Regulatory citations are provided where Title IV regulations apply. In other cases, questions are based on conventional procedures and good administrative practices.

Reference	**Question**	**Responsible Office**	**Response**
668.43(a)(1)	A. Does the institution publicize the special student aid funds available to qualified Native American students?	_____________	yes___no___
668.43(a)(1)	B. Does the financial aid administrator attempt to identify students who may be eligible for BIA funds?	_____________	yes___no___
	C. Is the institution aware that each applicant must: ▸ be a member of a federally recognized Indian tribe; ▸ be accepted for enrollment at a nationally accredited institution of higher education offering bachelor and or associate degree programs; and ▸ demonstrate financial need as determined by the financial aid office?	_____________	yes___no___
	D. Are potentially eligible students informed of the possibility of receiving BIA funds and encouraged to apply for BIA funds, campus-based funds, and entitlement aid?	_____________	yes___no___
●674.15 ●675.15 ●676.15 ✦673.6	E. Does the institution develop a financial aid package and award campus-based aid before determining the amount of financial need for a BIA grant?	_____________	yes___no___
●674.15 ●675.15 ●676.15 ✦673.6(c)(1)	F. If the BIA grant, when combined with other aid in the package, exceeds the student's financial need, does the school deduct the excess from other assistance and ***not*** from the BIA grant?	_____________	yes___no___
	1. Is the excess deducted from other assistance in the following sequence: ▸ loans ▸ work-study ▸ grants other than Federal Pell Grants? *Note: this order may be changed if the student requests, and if the school believes the change would benefit the student.*	_____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

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Reference	Question	Responsible Office	Response
	G. Are the necessary forms completed and transmitted to BIA for each eligible student?	____________	yes___no___
	H. Are recipients informed that they must reapply each year to establish eligibility for BIA funds?	____________	yes___no___
	I. Are recipients informed of the standards of satisfactory academic progress set by the BIA if such standards differ from institutional policy?	____________	yes___no___
	J. Are BIA funds disbursed to the student in the same manner as all other campus-based funds, where possible?	____________	yes___no___
	K. Is the student informed that BIA will require a report concerning his or her academic performance?	____________	yes___no___
	L. When a BIA recipient withdraws from school, does the institution immediately refund applicable BIA funds to the BIA agency according to the institutional refund policy?	____________	yes___no___

Other Recommended Good Practices for the BIA Program

Practice	Comments
1. If available, work with a local tribe's or reservation's educational officer.	
2. Most BIA Higher Education offices have limited funds and have priority dates for awarding BIA funds. Be sure to be familiar with the priority dates and complete the applications as soon as possible.	
3. Applications should not be submitted to the Office of Indian Education Programs in Washington, DC. For information, first call the tribe, agency/area education office or, if this information is not available, contact the Branch of Post-Secondary Education in Washington, DC (202) 208-4871.	

Comments on the Administration of the BIA Program

N·A·S·F·A·A

Self-Evaluation Guide for Institutional Participation in Title IV and Other Federal Programs

Part 3: Administration of Financial Aid: Fiscal Responsibilities

Introduction

The responsibilities brought about by stewardship of federal, state, and institutional funds mandate internal control. Well documented systems and procedures, as well as the need to provide continuous training to sustain systems of internal control, are necessary to meet the institution's duties as a trustee of public funds. The purpose of this section of the *Self-Evaluation Guide for Institutional Participation in Title IV and Other Federal Programs* is to help institutions evaluate the adequacy of their internal controls. Federal regulations require that an institution establish and maintain an internal control system of checks and balances, and control and fund accounting procedures. The Department of Education's *Audit Guide* emphasizes systems of internal control over Title IV funds.

Several offices may be involved in the ongoing process of design and review of internal control systems. Institutions need to take advantage of all methods of review available to them, including self-evaluation, quality control, peer-evaluation, program reviews, and audits. An official audit represents only one phase of an evaluation spectrum. Institutional personnel in all phases of the financial aid function need to develop conscious evaluation attitudes.

The following questionnaire on fiscal administration is a general guide, not a set of hard and fast rules. It presents some key questions that form a basis for evaluating an institution's present internal controls. You are encouraged to tailor the evaluation to your institution by adding questions and modifying those included in this *Guide* where appropriate. The authors further encourage a sharing of the answers, which may represent opinions, with staff, peers, supervisors, auditors, and members of the financial aid office staff in order to provide instruction and, when necessary, a dialogue resulting in better understanding and consensus.

The delegation of responsibilities between the financial aid and fiscal offices varies considerably among institutions. The authors of this self-evaluation document mean to suggest no particular model. Ideally, the fiscal office and the financial aid office will conduct the self-evaluation as a cooperative project.

The Fiscal Office part of this *Guide* is divided into three sections: General Fiscal Administration (I), Drawing Down Funds (II), and Cash Management (III). Section I includes questions specific to accounting policies and procedures required by the federal regulations and other questions addressing generally accepted good accounting practices. Section III of the *Guide* reflects regulations that became effective beginning with the 1995-96 award year. The cash management regulations represent the Department of Education's efforts to consolidate regulations that were previously contained in the individual program regulations, as well as tighten some of the procedures used to maintain and disburse Title IV funds.

The goal of the institutional evaluation of fiscal procedures is to assure that the institution is properly administering the Title IV and Health and Human Services programs with adequate checks and balances in its internal controls and to be certain that adequate records are kept of all transactions involving student financial aid, thus providing a clear audit trail.

In July 1995, the Department of Education distributed the 1995 edition of *The Blue Book: Accounting, Record keeping, and Reporting By Postsecondary Educational Institutions for Federally-Funded Student*

Financial Aid Programs. The *Blue Book* covers in detail the accounting, fiscal record keeping, and reporting requirements of the Title IV student financial aid programs. This document is a good reference source for both fiscal and financial aid administrators. The *Blue Book* should be used in conjunction with this self-evaluation guide.

NASFAA invites written comments on these or any other sections of this *Guide*. Comments should be sent to NASFAA, attention Marilyn LeBlanc.

I. General Fiscal Administration

Prepared by______ Date______
Reviewed by______Date______

Question	Response
A. General Accounting:	
1. Are fiscal procedures established in such manner as to provide for a detailed audit?	yes___no___n/a___
2. Are the accounting records for the entire institution audited periodically by an independent auditing agency?	yes___no___n/a___
3. Are the accounting records for the institution's Federal student financial aid programs audited at least once every year by an independent auditing agency?	yes___no___n/a___
4. Is a chart of accounts containing a description of each account in use?	yes___no___n/a___
5. Is the chart of accounts consistent with the structure outlined in the *Blue Book*?	yes___no___n/a___
6. Is an internal accounting manual in use?	yes___no___n/a___
7. Are the accounting methods and procedures documented in writing and readily available to users of the system?	yes___no___n/a___
8. Is the assignment of accounting duties and responsibilities expressed in the form of an organizational chart?	yes___no___n/a___
9. Are all postings to general and subsidiary ledgers required to be supported by entries in books of original entry or journal entries?	yes___no___n/a___
10. Are journal entries:	
a. Standardized for content and identification?	yes___no___n/a___
b. Supported by readily identifiable data?	yes___no___n/a___
c. Reviewed and approved by a responsible employee?	yes___no___n/a___
Where computer equipment is utilized, complete the following:	
11. Are batch controls (dollar amounts, cash totals, card counts, etc.) established by a responsible person, independent of data processing, prior to submission of data for processing?	yes___no___n/a___
12. Is a system in place to verify the accuracy of input data (i.e. dollar amounts, identification numbers, etc.)?	yes___no___n/a___
13. Are output data frequently compared to pre-determined totals by a responsible person independent of data processing, upon receipt of the information from the processing center? When input and output data do not agree, are:	
a. Differences properly identified?	yes___no___n/a___
b. Corrections properly authorized and approved?	yes___no___n/a___

Question	Response
c. Re-work corrections properly controlled and accounted for in entirety?	yes___no___n/a___
14. Are printouts, summary proofs, etc., received from data processing:	
a. Adequate in terms of supporting data?	yes___no___n/a___
b. Useful in the event reconstruction becomes necessary?	yes___no___n/a___
c. Timely, in order to be useful?	yes___no___n/a___
15. For on-line systems, is an audit trail of all original and automatically generated entries readily available?	yes___no___n/a___
16. Where multiple data processing systems are utilized (i.e. accounting, financial aid, payroll, etc.) have the interfaces between systems been properly defined and documented as well as regularly audited?	yes___no___n/a___

B. Cash and Check Handling:

Cash, as the medium of exchange, is the most mobile asset. Routines and operating conditions should be designed to:

- Assure that a record is prepared for each cash transaction immediately upon its occurrence.
- Provide independent methods or persons not connected with the transactions to determine the amount of cash for which the teller, or other employees affected, must account. Practical precautions must be taken to prevent collusion between those handling cash and checks, and those accounting for it on the institution's books.
- Establish personal responsibility and accountability.
- Provide adequate physical facilities for safeguarding cash and the associated papers and instruments.

1. Are adequate physical facilities provided for safeguarding cash in the possession of cashiers or others authorized to handle cash? Are such facilities kept locked to prohibit access to non-authorized cash handlers?	yes___no___n/a___
2. Are procedures in place to prohibit or discourage cash payment by mail?	yes___no___n/a___
3. Are safe combinations and keys restricted to a minimum number of employees?	yes___no___n/a___
4. Are safes and registers locked at all times when unattended?	yes___no___n/a___
5. Are safe combinations changed periodically and at each change in personnel where responsibility existed?	yes___no___n/a___
6. Is the office containing the safe monitored by an alarm system during non-business hours?	yes___no___n/a___

Question	Response
7. Are cash funds inventoried periodically on a surprise basis by a person independent of the fund?	yes___no___n/a___
8. Are cashiers forbidden to accept post-dated checks, IOU's or other evidence of loans without proper approval?	yes___no___n/a___
9. Are transfers between banks adequately controlled?	yes___no___n/a___
10. Are bank account reconciliations:	
a. Current?	yes___no___n/a___
b. Performed by person distinct from one responsible for recording cash transactions?	yes___no___n/a___
11. Are bank statements delivered direct to the reconciler?	yes___no___n/a___
12. Are all cash receipts deposited intact daily?	yes___no___n/a___
13. Are cash receipt vouchers promptly completed and backed up with proper documentation?	yes___no___n/a___
14. Are written procedures in place to ensure that all checks and cash are received and deposited in a central location and do the procedures provide instructions for transmitting checks and cash to such location if they are received elsewhere on campus?	yes___no___n/a___
15. Is incoming mail opened by a responsible employee who has no connection with cash functions?	yes___no___n/a___
16. Is this person directed to report any irregularities noted to a supervisor?	yes___no___n/a___
17. Does this person prepare a list of remittances and turn this over with the remittance advices, letters and envelopes to an employee of the accounting office other than the cashier for later checking against the deposit made by the cashier?	yes___no___n/a___
18. Is a deposit endorsement stamp applied immediately to all checks received?	yes___no___n/a___
19. Are duplicate receipted deposit slips returned by the bank to someone other than the person preparing deposits who compares with details and/or cash book?	yes___no___n/a___
20. Are cash receipt forms prepared for each transaction?	yes___no___n/a___
21. Are the cash receipt forms numerically controlled?	yes___no___n/a___
22. Are all cash receipts delivered directly to the cashier by the remitter to avoid handling by a third party?	yes___no___n/a___
23. Are cash and cash records completely separated from accounts receivable personnel?	yes___no___n/a___

GENERAL FISCAL ADMINISTRATION

Question	Response
24. Is there an adequate control over returned or protested checks?	yes___no___n/a___
25. Is the cashing of checks payable to the school prohibited?	yes___no___n/a___
26. Is the control of all accounting records other than cash receipts and/or disbursement books vested in persons other than cashier?	yes___no___n/a___
27. Is proper authorization and approval required prior to disbursement of currency or checks?	yes___no___n/a___
28. Is final approval required for payment by someone other than the person originating the payment?	yes___no___n/a___
29. Is account distribution reviewed and authorized?	yes___no___n/a___
30. Are facsimile signature plates under the sole control of the signing employee?	yes___no___n/a___
31. Is a log maintained of the usage of signature plates?	yes___no___n/a___
32. Are checks that are mailed delivered direct to the mail clerk without again passing through the hands of the individual who authorized their issuance?	yes___no___n/a___
33. Are checks and drafts used in numerical sequence?	yes___no___n/a___
34. Are blank checks and drafts adequately safeguarded?	yes___no___n/a___
35. Is there an enforced rule against signing blank checks in advance?	yes___no___n/a___
36. Are vouchers and supporting papers effectively canceled upon payment, indicating "Paid"?	yes___no___n/a___
37. Are paid checks and drafts reviewed on a periodic sampling basis (including verification of proper endorsements)?	yes___no___n/a___
38. Are there safeguards in effect against use of duplicate invoices, statements or fictitious supporting documents?	yes___no___n/a___
39. Are periodic audits made to check for duplicate payments?	yes___no___n/a___
40. Are advance payments to students properly authorized and controlled?	yes___no___n/a___
41. Is the drawing of checks to "cash" or "bearer" prohibited?	yes___no___n/a___
42. Is altering or misstating dates of checks prohibited?	yes___no___n/a___
43. When an error is made on a check, is the check properly voided?	yes___no___n/a___
44. Are all voided checks accounted for?	yes___no___n/a___

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C. Payroll Accounting:

The payroll function in any institution, particularly in a large institution, is a widely dispersed operation. Good internal control helps provide the assurance that only authorized employees are carried on the rolls, and that rates of pay are correct.

Question	Response
1. Are additions of personnel to payroll, changes of pay rates, and terminations controlled through written authorization utilizing standardized forms?	yes___no___n/a___
2. At the time of hiring, are gaps in employment history checked?	yes___no___n/a___
3. Is a separate personnel folder originated for each new employee?	yes___no___n/a___
4. Have all payroll authorization documents (including W-4's, etc.) been completed and submitted prior to the time of first payment?	yes___no___n/a___
5. Is punching of time clock cards controlled either by observance of supervisor at starting and quitting times, or by placing clocks in conspicuous locations?	yes___no___n/a___
6. Is there adequate control of clock cards of absentees and those who have terminated employment?	yes___no___n/a___
7. Are supervisors prohibited from:	
a. Preparation of payrolls?	yes___no___n/a___
b. Disbursement of payrolls?	yes___no___n/a___
8. Are those who prepare payrolls required to have written authorization from responsible persons outside payroll department for:	
a. All rates and particularly for changes in rates?	yes___no___n/a___
b. Absences, overtime, and other allowances to be paid?	yes___no___n/a___
9. Are hours worked by students, employees or supervisors always approved by someone other than themselves?	yes___no___n/a___
10. Have all payroll time records been properly completed, approved and submitted the payroll department prior to published deadlines?	yes___no___n/a___
11. Are payrolls occasionally checked against the records of the personnel department and/or Financial Aid Office to determine that student employees listed thereon are bona fide?	yes___no___n/a___
12. Are checks, pay receipts or pay orders delivered by the payroll organization directly to supervisors?	yes___no___n/a___
13. Are procedures in place to ensure that paychecks are given to proper payees?	yes___no___n/a___
14. Are periodic payroll delivery audits performed?	yes___no___n/a___

BEST COPY AVAILABLE

Question	**Response**
15. Are signed receipts or cards required where payroll is paid in currency and coin?	yes___no___n/a___
16. Are unclaimed wages controlled by requiring the paymasters to turn over to another employee pay receipts plus unclaimed envelopes or checks for the total with which they were charged?	yes___no___n/a___
17. Is an effective system in place for keeping addresses current for proper mailing of W-2's (particularly for graduating or terminating students)?	yes___no___n/a___
18. Are payroll bank accounts reconciled by persons other than:	
a. Cashiers?	yes___no___n/a___
b. Persons preparing payroll?	yes___no___n/a___
c. Persons distributing payroll?	yes___no___n/a___
19. Are Immigration and Naturalization Service (INS) requirements regarding the documentation of identity and employment authorization met within 3 days of hiring?	yes___no___n/a___

D. Accounts Receivable Accounting:

Good control over tuition/fee receivables and loan receivables is desirable as these activities govern the income to the institution. The organization structure should provide a proper segregation of duties so that no one person or department handles all the functions of a receivable transaction. There should exist a clear line of demarcation between cashiers, bookkeeping clerks, billing clerks, accounting staff, financial aid staff, investment personnel, etc.

The following should be required:

- Separation of duties.
- Enforced rules with respect to granting credit by deferring cash payments and advancing loans.
- Accounting of prenumbered forms.
- Establishment of approval procedures.
- Supervisory review and scrutiny.

1. Are the credit and loan responsibilities clearly designated?	yes___no___n/a___
a. Is the granting of loans carefully checked prior to disbursement?	yes___no___n/a___
b. Are credit limits and loan limits established, understood and adhered to?	yes___no___n/a___
c. If applicable, are all new student accounts approved for credit as opposed to automatic clerical set up (to prevent bogus receivables being set up)?	yes___no___n/a___

Question	Response
d. If applicable, is all credit (deferment of payment) for unpaid student-owed refunds and unpaid prior academic period balances approved on an exception basis?	yes___no___n/a___
2. Are charges for tuition, housing rent, fees, food, bookstore purchases, telephone services, etc., not paid for in advance or at the time of purchase, recorded in separate subsidiary accounts controlled by the institution's general ledger?	yes___no___n/a___
3. Are all accounts receivable ledgers balanced monthly with the general ledger control accounts?	yes___no___n/a___
a. Is the trial balance of subsidiary accounts receivable reviewed in detail by a manager at least quarterly?	yes___no___n/a___
b. Are accounts receivable aged regularly?	yes___no___n/a___
c. Is a schedule of aged accounts receivable distributed to the Credit/Collections Manager?	yes___no___n/a___
d. Are bad debts adequately supervised and recoveries controlled?	yes___no___n/a___
e. Is a record maintained of items written off and subsequent recoveries thereon by an employee not connected with the Accounts Receivable Department or with the handling of cash?	yes___no___n/a___
f. Are periodic billing statements mailed to students with unpaid balances?	yes___no___n/a___
g. Do bills and statements request students to make or endorse all checks payable only to the institution?	yes___no___n/a___
4. Is the accounts receivable function separated from the cash function?	yes___no___n/a___
5. Are account adjustments properly authorized and approved?	yes___no___n/a___
6. Is the proper procedure followed for authorization of bad debt write-offs?	yes___no___n/a___
7. Are internal routines (i.e., for billing accounts receivable, advancing loans and collecting payments) under adequate control so that no one person has control over several activities?	yes___no___n/a___
8. Does the Billing Department receive from the Registrar a record of all student enrollment and from the financial aid office a record of all aid to be applied to charges?	yes___no___n/a___
9. Does the institution have a written refund policy?	yes___no___n/a___
a. Is the refund policy understood by the staff preparing the refund calculation?	yes___no___n/a___
b. Do the refund memoranda bear proper approval?	yes___no___n/a___

Question	Response
c. Are limits established for special approval of refund allowances? (For example, for a refund over $1,000 is approval required from a financial officer, such as the controller, bursar, or vice president?	yes___no___n/a___
10. Are discrepancies and complaints reported by students given adequate attention?	yes___no___n/a___
11. Are loans disbursed only on the basis of properly approved documentation from authorized Financial Aid officers or an appropriate Student Affairs executive?	yes___no___n/a___
12. Are all deferments made only by staff responsible for collections?	yes___no___n/a___
13. Is proper documentation of deferments (i.e. notes signed by students) maintained?	yes___no___n/a___
14. Are internal routines (i.e., for billing accounts receivable, advancing loans and collecting payments) under adequate control so that no one person has control over several activities?	yes___no___n/a___
15. Are policies in place and followed relative to what activities can take place if student bills have not been paid?	yes___no___n/a___
16. Are internal routines properly supervised and controlled?	yes___no___n/a___

E. Plant Protection and Physical Accommodations of Fiscal Records:

While most of our internal controls are designed to preclude errors or to prevent fraud and dishonesty on the part of employees, the security measures taken to provide the maximum protection of the contents of buildings and storage areas should be considered as part of the overall study of internal controls.

Question	Response
1. Are the building and property protected by secure doors, locks, et cetera?	yes___no___n/a___
2. Are repairs made promptly?	yes___no___n/a___
3. Are visitors and outsiders restricted to the areas in which they have business?	yes___no___n/a___
4. Are security personnel provided with written rules on:	
a. Frequency of inspection tours and areas to be covered?	yes___no___n/a___
b. How to handle visitors?	yes___no___n/a___
c. Whom to admit and when?	yes___no___n/a___
d. Keeping signature records of those admitted before and those leaving after regular hours?	yes___no___n/a___
e. Showing time and purpose of visit?	
f. In lieu of security, is degree of police protection adequate and routine?	yes___no___n/a___

Question	Response
5. Is there a system in place (such as a central file) by which positive control over all documents is maintained?	yes___no___n/a___
6. Is a control system in effect whereby a record is maintained for all documents and equipment which leave the premises?	yes___no___n/a___
7. Are records maintained of employees in possession of keys to entrance doors, gate locks, storage areas, file rooms, etc., requiring limited access?	yes___no___n/a___
a. Are the keys given to only responsible employees?	yes___no___n/a___
b. Are locks changed concurrent with termination or transfer of responsible employees?	yes___no___n/a___
8. Are all legal ledgers required to be kept under record retention rules, stored in a fireproof safe or vault?	yes___no___n/a___
9. Are promissory notes and student loan ledgers kept in a locked, fire-resistant cabinet or container?	yes___no___n/a___
10. Do only authorized personnel have access to these documents?	yes___no___n/a___
11. If the department utilizes computers in its operations, are backup copies of disks and tapes maintained in a location separate from where the originals are maintained?	yes___no___n/a___
12. Are the sections of the Fiscal Office dealing directly with students conveniently located and accessible to handicapped students? [P.L. 93-112 S504 HEW Reg. (84.46)(a)]	yes___no___n/a___

Other recommended good practices regarding facilities:

Quarters should be adequate in terms of space, noise level, lighting.

The layout of the department should be efficient.

The total office space and arrangement should enhance the functions of the office. Provision should be made for privacy during and after working hours to protect confidentiality, especially for a data processing department and/or a computing center. For example, the reception area, the data entry area, the programming offices, and the computer's central processing unit hardware should all be separated.

F. Fiscal Organizing and Controlling:

Organizing is arranging, establishing, instituting, bringing into being -- it is the classification of activities of a group of individuals united in working toward a common goal. Its purpose is to achieve the most effective utilization of available resources. It involves structuring the organization to reflect the flow of work and the need for cooperative effort between individuals, groups, departments, functions, etc. It involves staffing the positions with qualified people. It involves establishing clear lines of authority and responsibility.

Controlling is verifying whether everything occurs in conformity with the plan adopted, the instructions issued, and principles established. Its purpose is to point out weaknesses and errors in order to correct them and prevent recurrence. It includes the establishment of standards, the measurement of performance, and the correction of deviations. To be effective, controlling requires, at a minimum, the following:

- Identifying key factors to be controlled to achieve results.
- Specifying the basis for establishing standards of performance.
- Defining the information that must be accumulated to measure performance.
- Establishing a reporting structure that identifies performance, relates causes and effects, signals trends, and identifies results by responsibility.

Question	**Response**
1. Have the roles of the various fiscal sub-departments been defined in writing?	yes___no___n/a___
2. Is a system in place for the periodic review of sub-department roles?	yes___no___n/a___
3. Have these roles been communicated to other departments in some form of institution-wide administrative procedures?	yes___no___n/a___
4. Has authority been delegated to carry out these roles?	yes___no___n/a___
5. Do fiscal officers and financial aid staff meet regularly to discuss the roles of each area in carrying out responsibilities relative to the entire financial aid function?	yes___no___n/a___
6. Have managers specified how the departments' performances are to be measured:	
a. Staying within the budget?	yes___no___n/a___
b. Recovery of operating costs?	yes___no___n/a___
c. Number of people?	yes___no___n/a___
d. Feedback from other departments?	yes___no___n/a___
e. Personal judgment?	yes___no___n/a___
f. Cost savings?	yes___no___n/a___
g. Student and employee complaints?	yes___no___n/a___
h. Schedule performance?	yes___no___n/a___
i. Accomplishment of objectives?	yes___no___n/a___
7. Have department objectives been established in writing?	yes___no___n/a___
8. Is accomplishment of objectives reported regularly?	yes___no___n/a___

Question	**Response**
9. Is nonaccomplishment reviewed with the department manager (or supervisor): Verbally? In Writing?	yes___no___n/a___
10. Is management satisfied with the department's overall performance?	yes___no___n/a___
11. Are there any particular areas or problems in the department which should be reviewed?	yes___no___n/a___
12. Does the department have an annual operating plan?	yes___no___n/a___
a. Does it also have a long-range operating plan?	yes___no___n/a___
b. Is the plan broken down into definable projects?	yes___no___n/a___
c. Do these projects have detailed schedules?	yes___no___n/a___
d. Do all levels of supervision participate in planning?	yes___no___n/a___
e. Are senior officers aware of the plan?	yes___no___n/a___
f. Have senior officers approved the plan?	yes___no___n/a___
g. Are all employees in the fiscal department aware of the plan?	yes___no___n/a___
h. Have responsibilities been assigned to carry out the plan?	yes___no___n/a___
i. Is performance against the plan measured?	yes___no___n/a___
j. Are changes in the plan communicated up and down the line?	yes___no___n/a___
k. Are there minimal changes to the plan?	yes___no___n/a___
l. Does the plan contain units of measure such as costs, number of employees, dates, etc?	yes___no___n/a___
m. Are reports of progress against the plan issued periodically?	yes___no___n/a___
13. Have any fiscal sub-department or section staffing problems been resolved?	yes___no___n/a___
14. Is management satisfied with the quality of personnel in the fiscal department?	yes___no___n/a___
15. Does the department have any formal on-the-job training program?	yes___no___n/a___
16. Are employees encouraged to take appropriate training courses?	yes___no___n/a___
17. How is an individual's performance measured?	
by objectives?	yes___no___n/a___
by work measurement?	yes___no___n/a___

Question	**Response**
by other standards? (list below)	yes___no___n/a___
	yes___no___n/a___
	yes___no___n/a___
	yes___no___n/a___
18. Do employees know how they are measured, such as by periodic or annual performance reviews?	yes___no___n/a___
19. Is performance measured regularly?	yes___no___n/a___
20. Are job descriptions written for each position?	yes___no___n/a___
21. If turnover has been a problem, has management made an effort to determine the cause of the turnover and to eliminate the cause if possible?	yes___no___n/a___
22. Are there adequate advancement opportunities?	yes___no___n/a___
a. Are they in the department?	yes___no___n/a___
b. Outside the department?	yes___no___n/a___
23. Are employees aware of these opportunities?	yes___no___n/a___
24. Does the department have formal organization charts?	yes___no___n/a___
25. If there are an excessive number of people and/or functions reporting to any one supervisor in the fiscal department, is an effort being made to correct this situation?	yes___no___n/a___
26. A **policy** is a guide for carrying out action in order to achieve objectives. It is effective until it is either replaced or declared invalid.	
a. Does the fiscal department have written policies?	yes___no___n/a___
b. Are they organized in a manual?	yes___no___n/a___
c. Are they up-to-date?	yes___no___n/a___
d. Are they enforced?	yes___no___n/a___
e. Are they distributed to personnel in the department?	yes___no___n/a___
f. Are they distributed to other departments as appropriate?	yes___no___n/a___
g. Are they clearly written?	yes___no___n/a___
h. Is the format standardized?	yes___no___n/a___

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Question	**Response**
27. **Procedures** explain the steps to be taken in order to carry out the policies. Procedures minimize the chance for irregularities or improper practices and act as a reference in determining that policies are carried out.	
a. Does the department have written procedures?	yes___no___n/a___
b. Are they organized in a manual?	yes___no___n/a___
c. Are they up-to-date?	yes___no___n/a___
d. Are they monitored for compliance?	yes___no___n/a___
e. Is a procedure written for all policy statements?	yes___no___n/a___
f. Are written procedures distributed to the responsible personnel?	yes___no___n/a___
g. Is the format standardized?	yes___no___n/a___
28. **Forms** is a general term and refers to the information and the media used in the formal written communication system of the department and the institution as a whole. It would include such items as purchase orders, invoices, check vouchers, student billings, time cards, financial aid disbursement orders, etc.	
a. Does the fiscal department have a forms control program?	yes___no___n/a___
b. Is the program consistent with the institution's other departments?	yes___no___n/a___
c. Does it utilize a system of inventory control and replenishment?	yes___no___n/a___
29. **Files** constitute the formal storage of information in a department. This term includes computer files, filing cabinets, tub files, notebooks, etc., for the purpose of reference.	
a. Is access to departmental files unrestricted?	yes___no___n/a___
b. Do files document entire transactions accurately and in one place?	yes___no___n/a___
c. Are files purged according to a planned records retention program?	yes___no___n/a___
d. Is there a procedure covering records retention?	yes___no___n/a___
e. Is there a procedure to control purging of records no longer required?	yes___no___n/a___
f. Does it comply with institutional policy?	yes___no___n/a___
30. **Control** is impaired unless steps are taken to measure results against anticipated standards of performance. These indicators point up situations requiring attention by management and would include forecasts and budgets:	
a. Has a reporting structure been established that identifies performance?	yes___no___n/a___

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Question		**Response**
	Are reports:	
	prompt?	yes___no___n/a___
	accurate?	yes___no___n/a___
	concise?	yes___no___n/a___
	impartial?	yes___no___n/a___
	are they used?	yes___no___n/a___
b.	Does the fiscal department prepare the institution's annual budget?	yes___no___n/a___
c.	Is this budget approved by the top level of management?	yes___no___n/a___
d.	Do supervisors and staff participate in budget preparation?	yes___no___n/a___
e.	Are budgets modified when conditions change?	yes___no___n/a___
f.	Are regular reports, showing actual costs and variance, provided for all institutional departments?	yes___no___n/a___
g.	Are large variances explained?	yes___no___n/a___
h.	Does the budget provide for such things as:	
	gift income resources?	yes___no___n/a___
	restricted endowment earnings?	yes___no___n/a___
	tuition income?	yes___no___n/a___
	student labor--actual versus forecast?	yes___no___n/a___
	scholarship commitments (disbursed and unexpended)?	yes___no___n/a___
	loan commitments, disbursements and collections?	yes___no___n/a___
	financial aid matching resources?	yes___no___n/a___
	staff labor and employee benefits by department throughout the institution?	yes___no___n/a___
	expended supplies, travel, professional development, equipment, computer usage, etc?	yes___no___n/a___
	administrative allowances from Federal programs?	yes___no___n/a___
	student aid budget models for long range planning?	yes___no___n/a___

Question	**Response**
31. Has any audit or appraisal ever been made of the fiscal department or portions thereof (i.e. as part of an auditor's Management Letter)?	yes___no___n/a___
If so, give most recent date below:	
By the public accountants ________	
By government auditors ________	
By consultants ________	
By management ________	
Other:	
32. Are the results of appraisals available in writing?	yes___no___n/a___
33. Does the fiscal department prepare and issue routine statistical reports?	yes___no___n/a___
34. On these statistical reports, do the dollar amounts "tie-in to the books"?	yes___no___n/a___
35. Are Error Logs maintained and utilized as a method of tracking errors?	yes___no___n/a___
36. Are any reports issued on special program items such as:	
a. Student aid overawards?	yes___no___n/a___
b. FWS overtime wages?	yes___no___n/a___
c. FWS wages paid exceeding amounts awarded?	yes___no___n/a___
d. FWS fund over-utilization?	yes___no___n/a___
e. Federal Perkins Loan (NDSL) fund over-utilization?	yes___no___n/a___
f. Delinquent student accounts receivable?	yes___no___n/a___
g. Delinquent loan accounts?	yes___no___n/a___
h. Staff employee overtime salaries?	yes___no___n/a___
i. Scholarship funding projected shortfalls?	yes___no___n/a___
j. Scholarship funding over-expenditures?	yes___no___n/a___
k. Other:	yes___no___n/a___
	yes___no___n/a___
37. Is there evidence of any action being taken as a result of issuing these reports?	yes___no___n/a___

Question	**Response**
38. Are these fiscal reports reviewed for accuracy and approved for release?	yes___no___n/a___
39. Are these fiscal reports distributed to:	
a. Top management?	yes___no___n/a___
b. Respective department directors?	yes___no___n/a___
c. Internal auditors?	yes___no___n/a___
d. Internal management advisors?	yes___no___n/a___
e. Other:	yes___no___n/a___
40. Are reports reviewed periodically to determine whether or not they are meeting their intended purposes and are reaching appropriate audiences?	yes___no___n/a___

Describe:

Comments on the Administration of the Fiscal Office

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II. Drawing Down Federal Funds

Prepared by______ Date______
Reviewed by______ Date______

Both the Department of Education Payment Management System (ED/PMS) and the Department of Health and Human Services Payment Management System (DHHS/PMS) have very similar design characteristics. Both provide their respective recipients with readily identifiable points of contact for cash matters. Each system provides uniform standards for cash management and disbursement reporting.

Reference	Question	Responsible Office	Response
The Blue Book, July 1995, p.87	A. Is the institution aware that all Title IV funds (excluding FFEL) are requested through the Department of Education Payment Management System (ED/PMS)?	______________	yes___no___
The Blue Book, July 1995, p.87	1. Does the institution understand that there are two methods, Automated Clearinghouse Electronic Funds Transfer (ACH/EFT), and Federal Electronic Fund Transfer (FEDWIRE), that institutions use to obtain federal cash through ED/PMS?	______________	yes___no___
	a. Is the institution aware that under the ACH/EFT method, ED/PMS transfers funds electronically to institutions, usually within two to four business days of the request?	______________	yes___no___
	b. Is the institution aware that the Federal Electronic Fund Transfer (FEDWIRE) system provides payment of funds to recipients by direct wire transfer by the Federal Reserve Communications System through the Federal Reserve Bank on the next business day following receipt of the request?	______________	yes___no___
The Blue Book, July 1995, p.87	2. Does the institution understand that unless it has been informed otherwise by the Department of Education, the institution receives Title IV funds (except FFELP), through the Advance Payment Method?	______________	yes___no___
●668.163(a)(2) ✦668.162(b)(1)	a. Does the institution limit its request for funding to the amount needed to make immediate disbursements to eligible students and parents?	______________	yes___no___ n/a___
●668.163(a)(2) ✦668.162(b)(3)	b. Does the institution disburse requested funds within three business days of receipt?	______________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
The Blue Book, July 1995, p.88	3. Does the institution understand that it will only be placed on the Reimbursement Payment Method if the Department of Education determines that there is a need to strictly monitor the institution's participation in the Title IV programs?	____________	yes___no___
●668.163(a)(3)(i), (ii) ✦668.162(d)(3)	a. Does the institution identify students for whom reimbursement is sought, and submit documentation that shows each applicant included in the request was eligible to receive those Title IV funds?	____________	yes___no___ n/a___
●668.163(a)(3) ✦668.162(d)(1)	b. Does the institution limit its request for funds to the amount disbursed to individuals identified in the reimbursement request?	____________	yes___no___ n/a___
✦668.167(d)(1)(i)	c. ✦Does the institution ensure that if it has been placed on the Reimbursement Payment Method, it does not disburse FFELP funds to borrowers until it submits required documentation and receives approval from the Department of Education?	____________	yes___no___ n/a___
✦668.167(d)(1)(ii)	i. ✦If required, does the institution delay certification of FFELP applications until approval is received from the Department of Education?	____________	yes___no___ n/a___
✦668.162(c)	4. ✦Is the institution aware of a third payment method, Just-in-time, in which institutions electronically transmit student level payment data to the Department of Education, and based upon disbursement dates provided by institutions, receive funds through ACH/EFT? *Note: Although regulations initiating just-in-time are effective July 1, 1997, implementation of the Just-in-time Payment Method has been delayed. The Department of Education plans to publish a Notice in*	____________	yes___no___

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Reference	Question	Responsible Office	Response
	the Federal Register indicating the effective date of this payment method.		
The Blue Book, July 1995, p.89	5. Does the institution follow the procedures for receiving funds contained in the *Recipient's Guide for the Department of Education Payment Management System* (October 1995)?	yes___no___	
	B. ✦Is the institution aware that beginning January 1, 1998, the Department of Education will begin implementation of the Education Department Central Automated Processing System's (EDCAPS) Grants and Payment System (GAPS)? *NOTE: Once fully implemented, GAPS will be used by all schools to receive funds and report expenditures in the Federal Pell Grant and campus-based programs. Funds will be requested either electronically or by telephone. In both cases, all funding request must be identified by Title IV program.*	____________	yes___no___
	C. Is the institution aware that there are two methods for obtaining federal cash through the Department of Health and Human Services Payment Management System DHHS/PMS? ▸ Cash Line This method is a voice response telephone system. Institutions draw down funds to meet immediate needs; funds are transferred to the institution's account the next business day via the Federal Reserve through the Automated Clearing House (ACH). ▸ SMARTLINK II This electronic funds transfer payment system requires a PC, modem, communications capabilities, and a direct telephone line. Requests for funds may be made daily or weekly; payment is made through the Automated Clearing House (ACH).	____________	yes___no___

Reference	Question	Responsible Office	Response
	1. Are all appropriate payment guides and manuals on file?		
	a. *The DHHS Manual for Recipients Financed Under the Payment Management System (PMS)*, January 1994 (DHHS/PMS).	______________	yes___no__ n/a____
	b. SMARTLINK II Users Guides and Technical guides, April 1994.	______________	yes___no___ n/a____
	c. *Cashline, the Payment Management System Voice Response Unit User's Guide*, January 1994.	______________	yes___no___ n/a____
	D. Draw Down procedures for Cash Advance Recipients:		
	1. Is the appropriate authorization documentation on file?	______________	yes___no___ n/a___
	2. Is the proper security provided for the password/access code?	______________	yes___no___ n/a___
	3. Are the appropriate request for fund forms on file?	______________	yes___no___ n/a___
	4. To insure fiscal accountability under the draw-down system, does your institution have sufficient cash control procedures to provide:	______________	yes___no___ n/a___
	a. Accurate, current, and complete financial reports for each award program?	______________	yes___no___ n/a___
	b. Records identifying the source and use of funds for award-supported activities?	______________	yes___no___ n/a___
	c. Effective control over and accountability for all funds, property, and other assets?	______________	yes___no___ n/a___
	d. Comparison of actual outlays and budgeted amounts for each award?	______________	yes___no___ n/a___
	e. Procedures to minimize the time	______________	yes___no___ n/a___

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Reference	**Question**	**Responsible Office**	**Response**
	between draw down of federal funds and disbursement of those funds?		
	f. Accounting records that are supported by source documentation such as original invoices, purchase orders, etc.?	______________	yes___no___ n/a___
	g. A systematic method to quickly and appropriately resolve audit findings and recommendations?	______________	yes___no___ n/a___
	5. Does the institution always verify that funds were deposited in its bank account before making aid disbursements?	______________	yes___no___ n/a___
	E. Financial Reporting		
The Blue Book, July 1995, pp. 246-253	Does the institution complete and submit the following reports within the applicable time frame:	______________	yes___no___ n/a___
DHHS Manual for Recipients Financed Under the Payment Management System (PMS), January 1994	▸ Status of Federal Cash (PMS 272); ▸ Federal Cash Transaction Report (PMS 272-A); and ▸ Statement of Cash Accountability (PMS 272-B)?		
	1. Are copies of these reports readily accessible?	______________	yes___no___ n/a___
	2. Are these reports complied timely on dates when due, as requested from PMS?	______________	yes___no___ n/a___
	3. Is the cumulative expenditure information sent by the institution based on accurate expenditure data?	______________	yes___no___ n/a___
	4. Are accounting records posted and balanced frequently enough to enable cash to be drawn as close to immediate disbursement needs as is administratively feasible?	______________	yes___no___ n/a___
	5. Is there any stockpiling of funds, as evidenced by unusually high cash balances?	______________	yes___no___ n/a___
	6. Are estimates realistic, with references to actual need and acceptable budget estimating practices?	______________	yes___no___ n/a___

Reference	Question	Responsible Office	Response
	7. Is the federal share of refunds, rebates, audit adjustments, or other adjustments transacted and reported in a timely manner?	______________	yes___no___ n/a___
	8. Is refunded cash used for current program disbursement needs before additional program funds are withdrawn from ED or HHS?	______________	yes___no___ n/a___
	9. Are discrepancies between the institution's records and the PMS data computer base (i.e. miscoding, wrong amounts authorized, etc.) Being noted on reports returned to the Department?	______________	yes___no___ n/a___
	10. Are unresolved discrepancies being followed up in a timely manner by correspondence and/or telephone calls with PMS?	______________	yes___no___ n/a___
	F. Once the EDCAPS GAPS system is implemented, institutions will no longer submit monthly or quarterly reports of Title IV expenditures to the Department of Education. Instead, institutions will receive quarterly statement of award authorizations and drawdown. Institutions will only respond to these statements if discrepancies exist or to report changes in program expenditures.		

Conclusion

The Departments of Education and Health and Human Services have made significant strides in streamlining the procedures for drawing down federal student aid funds. Efforts are continuing at both Departments to further automate procedures. Administrators should be alert to memoranda announcing such changes and providing directions as to how institutions desiring to take advantage of such improvements can do so.

Comments on Drawing Down Funds____

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III. Cash Management

Prepared by_____ Date_____
Reviewed by_____ Date_____

Reference	Question	Responsible Office	Response
668.161(a)	A. Does the institution promote sound cash management of Title IV program funds by following cash management rules set forth in 34 CFR Part 668, subpart K?	____________	yes___no___
	1. Are procedures in place to ensure that financing costs to the Federal government for making Title IV program funds available are minimized?	____________	yes___no___
	2. Are procedures in place to minimize costs that accrue to a student under a Title IV loan program?	____________	yes___no___
668.161(b)	B. Does the institution neither use nor hypothecate (i.e., use as collateral) Title IV funds for any purpose other than to hold the funds in trust for the intended students or the Secretary? *NOTE: The only exceptions are for funds received for administrative expenses and funds used for the Job Location and Development Program.*	____________	yes___no___
●668.163(a)(2)(ii) ✦668.162(b)(1),(3)	C. If the institution receives Title IV program funds under the Advance Payment method, does the institution's cash request represent an amount needed to make disbursements for no more than three business days following the date the institution receives the funds?	____________	yes___no___ n/a___
●668.163(a)(2)(iii)	1. ●When submitting a request for cash, does the institution: ▸ identify the Title IV program under which the institution is requesting funds by its appropriate Catalog of Federal Domestic Assistance (CFDA) number; and ▸ identify the total amount of program funding for each CFDA number included in the request?	____________	yes___no___ n/a___
●668.163(a)(3) ✦668.162(d)	D. If the institution receives Title IV program funds under the Reimbursement Payment Method, does the institution have in place procedures necessary to comply with the special requirements directed by the Department of	____________	yes___no___ n/a___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

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Reference	Question	Responsible Office	Response
	Education?		
✦668.167(d)(1)(i)	1. ✦Does the institution ensure that if it has been placed on the Reimbursement Payment Method, it does not disburse FFELP funds to borrowers until it submits required documentation and receives approval from the Department of Education?	____________	yes___no___ n/a___
✦668.167(d)(1)(ii)	a. ✦Does the institution delay certification of FFELP applications until approval is received from he Department of Education, if it has been instructed to do so?	____________	yes___no___ n/a___
●668.163(b) ✦668.167(a)(1)(ii)	E. If the institution receives FFEL Program funds by EFT or master check, does the institution request EFT or master check funds for students not subject to delayed disbursement requirements, no earlier than 13 days before: ▸ ●the first day of the student's period of enrollment? ▸ ✦the first day of classes for the payment period?	____________	yes___no___ n/a___
682.207(b)(1)(iii) ✦668.167(a)(2)(ii)	F. If the institution receives FFEL Program funds by individual check, does the institution request the check for students not subject to delayed disbursement requirements, no earlier than 30 days before: ▸ ●the first day of the student's period of enrollment? ▸ ✦first day of classes for the payment period?	____________	yes___no___ n/a___
●682.603(h)(2) ✦668.167(a)(1)(i)	G. If the student is a first-time, first year borrower, does the institution request funds via EFT or master check, no earlier than: ▸ ●24 days after the first day of the student's period of enrollment? ▸ ✦27 days after the first day of classes of the first payment period ?	____________	yes___no___ n/a___

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Reference		**Question**	**Responsible Office**	**Response**
●682.603(h)(2) ✦668.167(a)(2)(i)	H.	If the student is a first-time, first year borrower, does the institution request funds by individual check, no earlier than: ▸ ●24 days after the first day of the student's period of enrollment? ▸ ✦the first day of classes of the first payment period?	____________	yes___no___ n/a___
●682.207(b)(1)(v)(B)	I.	●Are Federal Family Education Loan funds that are disbursed by EFT or master check transferred by the lender to an account which is separate from other federal or non-federal accounts?	____________	yes___no___ n/a___
●668.164(b) ✦668.163(c)(1)	J.	Does the institution maintain Federal Perkins Loan funds in an interest-bearing or investment account?	____________	yes___no___ n/a___
●668.164(b) ✦668.163(c)	K.	For Title IV funds other than Federal Perkins and FFEL, does the institution maintain Title IV program funds in an interest-bearing or investment account unless one of the following conditions applies:		
●668.164(c)		●For 1996-97: ▸ in the prior award year, the school drew down less than $3 million from the Title IV programs (including funds drawn down for the Federal Perkins Loan program); ▸ the institution earned less than $250 in interest on the total amount of Title IV program funds drawn down in the prior award year and maintained in an interest-bearing account (excluding interest earned on the Federal Perkins Loan account); or ▸ the institution can demonstrate by its cash management practices that it would not earn over $250 in interest by maintaining drawn-down Title IV funds in an interest-bearing account (excluding interest that would be earned on the Federal Perkins Loan account)?	____________	yes___no___ n/a___
✦668.163(c)(3)		✦For 1997-98::	____________	yes___no___

Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
	▸ in the prior award year, the school drew down less than $3 million from the Title IV programs (including funds drawn down for the Federal Perkins Loan program) and will not drawdown more than that amount in the current award year; and		n/a___
	▸ the institution demonstrates by its cash management practices, that it will not earn more than $250 in interest by maintaining drawn down funds in an interest bearing account during the current award year (excluding interest earned on the Federal Perkins Loan account); or		
✦668.163(c)(3)(iii)	▸ the institution requests funds under the just-in-time payment method? *Note: Although the Just-in-time Payment Method becomes effective July 1, 1997, the Department of Education has decided to delay implementation of Just-in-time. When it is implemented, participation in this payment method will be voluntary.*		
●668.164(a)(2)(i) ✦668.163(a)(2); 1996-97 FSFA Handbook, p.3-55;	1. Has the institution notified the bank of the accounts that contain Federal funds, and is a copy of such notification retained by the institution, or has the institution ensured that the name of the account includes the words "federal funds"?	____________	yes___no___
●668.164(a)(2)(iii)(B), ✦668.163(a)(2)(ii)(B)	2. Has the institution (if it is not a public institution) filed with the appropriate state or municipal government entity a UCC-1 form and maintained a copy for its records if the name of the account does not include the words "federal funds"? *Note: Beginning with 1996-97, the UCC-1 requirement is not applicable to public institutions.*	____________	yes___no___ n/a___
●668.164(e) ✦668.163(b)	3. If the Secretary requires the institution to maintain a separate account for Title IV funds, that contains no other funds, does the institution comply with this requirement?	____________	yes___no___ n/a___
●668.164(b)(1)(i),	L. Are all accounts in which Title IV funds are	____________	yes___no___

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Items marked ✦ are effective beginning 1997-98.

Reference		**Question**	**Responsible Office**	**Response**
(c)(2) ✦668.163(a)(1)		maintained either: ▸ federally insured; or ▸ secured by collateral that is approximately the same value as the Title IV funds in the account?		n/a___
●668.164(b)(1), (2); ✦668.163(c)(1),(2)	M.	If the institution maintains federal funds in an investment account, does the account predominantly consist of low-risk income producing securities and does the institution maintain sufficient liquidity in that account to make required disbursements to students?	____________	yes___no___ n/a___
●668.164(d) ✦668.163(c)(4)	N.	With the following exceptions, does the institution, at least annually, pay ED the interest or investment revenue earned on Title IV Program funds maintained in an interest-bearing or investment account? Exceptions:	____________	yes___no___ n/a___
●668.164(d)(2) ✦668.163(c)(4)		▸ Up to $250 of the combined interest on all Title IV accounts may be retained by the school for administrative expenses. (*Note: interest earned on Federal Perkins or FFEL is not included in the $250 amount.)*		
●668.164(d)(1) ✦668.163(c)(1)		▸ The institution must retain all interest or investment revenue earned on Federal Perkins Loan Program funds maintained in an interest-bearing or investment account.		
●668.164(a)(1) ✦668.163(c)(2)		▸ The institution is not required to maintain FFEL funds in an interest bearing account; however if it chooses to do so, the institution may retain the interest.		
668.165(a)(1)	O.	Does the institution notify the student (●or parent for PLUS) of the amount of Title IV funds the student or parent can expect to receive, and how and when those funds will be paid?	____________	yes___no___
●668.165(a)(4)	P.	●Does the institution disburse Direct Loan proceeds by crediting the student's account? *Note: In cases where the school does not use accounts, a cash disbursement may be made*	____________	yes___no___ n/a___

Reference	**Question**	**Responsible Office**	**Response**
	instead.		
●668.165(b)(1) ✦668.165(a)(2)	Q. Does the institution expeditiously provide written notification to a student or parent, as applicable, that the student's account has been credited with Direct, FFEL or Federal Perkins Loan funds?	____________	yes___no___
✦668.165(a)(2)(ii)	R. ✦If the institution credit's a student's account with FFEL proceeds received through EFT or master check, Federal Perkins, or Direct Loan funds, does it notify the student or parent (in this case PLUS) of their right to cancel all or a portion of the loan or loan disbursement?	____________	yes___no___
✦668.165(a)(3)(i)	1. ✦Does the institution provide this notice no earlier than 30 days before and no later than 30 days after crediting the student's account?	____________	yes___no___
✦668.165(a)(2)(iii)	2. ✦Does the notice inform the student or parent of the procedures and the time frame by which the cancellation request must be received by the school?	____________	yes___no___
●668.165(b) ✦668.165(a)(3)(ii)	3. Is the institution aware that notification can be in writing or equivalent electronic means?	____________	yes___no___
	a. If an institution notifies a student or parent electronically, does the institution request the student or parent to confirm the receipt of the notice and maintain a record of that confirmation?	____________	yes___no___
●668.165(b)(1) ✦668.164(d)	S. When crediting a student's account, does the institution have procedures in place to ensure that Title IV program funds are only applied to allowable charges?	____________	yes___no___
●668.165(c)(1) ✦668.164(f)	T. Does the institution refrain from making a payment to a student or crediting the student's account until the student is enrolled for classes for that period?	____________	yes___no___
✦668.4	U. ✦Does the institution apply the concepts of "payment period" when requesting and disbursing funds for all of the Title IV programs?	____________	yes___no___

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Items marked ● applied to 1996-97 but not to subsequent years.
Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
●668.165 ✦668.164	V. Does the institution ensure that Title IV funds are disbursed to students or parents within the time frames established under the cash management rules?	______________	yes___no___
●668.165(c)(2)(i) ✦668.164(f)(1)	1. For credit hour term-based programs that are offered in semesters, trimesters, or quarters: does the institution ensure that funds are disbursed no earlier than 10 days before the first day of classes of the payment period (●or period of enrollment)?	______________	yes___no___
	2. For credit hour programs that are not offered in semesters, trimesters, or quarters: does the institution ensure that Title IV funds are delivered no earlier than:		
●668.165(c)(2)(i) ✦668.164(f)(2)	a. for first disbursements, 10 days before the first day of classes of the payment period (●or period of enrollment)?	______________	yes___no___ n/a___
●668.2, payment period; ●668.165(c)(2)(ii)	b. ●for subsequent disbursements, 10 days before the first day of classes of the payment period or period of enrollment for which the disbursement is intended?	______________	yes___no___ n/a__
✦668.4 ✦668.164(b)(1)	c. ✦for subsequent disbursements, with the exception of FFEL and Direct Loan proceeds, the date that the institution determines that the student completed the credit hours of the previous payment period?	______________	yes___no___ n/a___
✦668.164(f)(2)(ii)	d. ✦for subsequent disbursements of FFEL and Direct Loan, the later of the calendar midpoint between the first and last scheduled day of classes of the loan period or the date that the student has completed half of the academic course work in the loan period?	______________	yes___no___ n/a___
	3. For clock-hour programs, does the institution ensure that loan proceeds are delivered no earlier than:		
●668.165(c)(2)(I) ✦668.164(f)(2)	a. for first disbursements, 10 days before the first day of classes of the payment period?	______________	yes___no___ n/a___

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Items marked ✦ are effective beginning 1997-98.

Reference	Question	Responsible Office	Response
●668.2, payment period; ✦668.4 ✦668.164(b)(1)	b. for subsequent disbursements, with the exception of FFEL and Direct Loan proceeds, the date that the institution determines that the student completed the previous payment period?	____________	yes___no___ n/a___
✦668.164(f)(2)(ii)	c. ✦for subsequent disbursements of FFEL and Direct Loan, the later of the calendar midpoint between the first and last scheduled day of classes of the loan period, or the date that the student has completed half of the clock hours in the loan period?	____________	yes___no___ n/a_
✦668.164(b)(3)	d. ✦Is the institution aware that a limited number of excused absences may be included when determining if students have completed all of the clock hours of a prior payment period, if the institution has a written policy which addresses excused absences?	____________	yes___no___ n/a___
●668.165(c)(3) ✦668.164(f)(3)	W. For a first year undergraduate student who has not previously borrowed under the FFEL or Direct Loan programs, does the institution ensure that the first installment of the loan is not credited to the student's account, paid directly to the student, or released for endorsement until 30 days after the first day of the student's program of study?	____________	yes___no___
● 668.165(b)(2) ✦668.164(e), ✦668.165(b)(4) (iii)	X. If the Title IV funds that are credited to the student's account exceed allowable charges, does the institution pay the excess to the student (or parent, for PLUS) within 14 days the later of: ▸ The date that the balance occurs; ▸ The first day of classes of a payment period or period of enrollment, as applicable; or ▸ The date the students rescinds his or her authorization for the institution to hold the funds?	____________	yes___no___ n/a___
●668.165(d)(1) ✦668.165(b)(1)	Y. Is the institution aware that it may permit students (or parents, for PLUS) to authorize the institution to perform any of the following services:	____________	yes___no___

Reference	Question	Responsible Office	Response
	▸ hold Title IV funds on behalf of the student or parent (✦except if prohibited under the reimbursement payment method);		
	▸ apply Title IV funds to additional charges on the student's account; or		
	▸ disburse Title IV funds via EFT to the student's or parent's bank account?		
✦668.165(b)(5)(iii)	1. ✦If the institution holds Title IV funds on behalf of students and parents, does it pay students and parents any remaining balance on loan funds by the end of the loan period, and any remaining balance on other Title IV funds by the end of the last payment period of the award year?	____________	yes___no___
	Z. If the institution offers services requiring the student's or parent's authorization, does the institution:		
●668.165(d)(2) ✦668.165(b)(2)	1. Ensure that authorization is at the student's option (or parent's, for PLUS)?	____________	yes___no___
●668.165(d)(3) ✦668.165(b)(1)	2. Use a written authorization statement which must be signed by the student (or parent, for PLUS) before the services authorized in the statement may be performed?	____________	yes___no___
●668.165(d)(3)(i), (ii); ✦668.165(b)(2)(i), (ii)	3. Ensure that the authorization statement uses clear and conspicuous language and states that the authorization can be modified or canceled at any time at the student's or parent's request?	____________	yes___no___
●668.165(d)(3)(i)	4. ●Ensure that, if the statement authorizes the institution to hold funds on behalf of the student or parent, the statement describes the treatment of any interest that the institution earns on the funds and specifies whether the institution will provide that interest to the student (or parent)?	____________	yes___no___
●668.165(d)(3) ✦668.165(b)(3)	5. Either design the authorization to be valid for the entire enrollment period, (● or ask students and parents to sign a new authorization statement each year)?	____________	yes___no___
	a. ●If the statement is designed to be	____________	yes___no___

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Reference	Question		Responsible Office	Response
		valid for the entire enrollment period, does the institution notify the student or parent, at least annually, of the contents of the authorization and the right to rescind that authorization at any time?		n/a___
		b. Is notification made prior to performing the services authorized by the statement for the award year or period of enrollment?	_____________	yes___no___
●668.165(e) ✦668.165(b)(1)(ii)	AA.	Is the institution aware that it may use current Title IV program funds to pay minor prior year charges if:	_____________	yes___no___ n/a___
●668.165(e)(1)		‣ the student has or will have a Title IV credit balance;		
●668.163(e)(2) ✦668.164(d)(2)(ii)		‣ the institution obtains the student's authorization to pay the minor prior year charges; and		
●668.163(e)(3) ✦668.164(d)(ii)		‣ the prior year charges do not exceed $100, or the payment of these charges does not, or will not, prevent the student from paying his or her current-year education costs?		
●668.165(b)(4)(i) ✦668.165(b)(5)	BB.	If students are given the option of authorizing the institution to hold Title IV program funds in excess of institutional charges, does the institution ensure that:		
●668.165(b)(4)(i) (A), ✦668.165(b)(5)(i)		1. The students and the amount of the funds the institution holds for the students are identifiable and maintained in a subsidiary ledger account designated for that purpose?	_____________	yes___no___ n/a___
●668.165(b)(4)(i) (B), ✦668.165(b)(5)(ii)		2. It maintains in its bank account, at all times, an amount equal to the funds the institution holds for the student?	_____________	yes___no___ n/a___
668.166(a)	CC.	Does the institution have procedures and safeguards to monitor its cash needs for Title IV program funds to ensure that the institution does not maintain excess cash? *Note: The Secretary considers excess cash to be any amount of Title IV program funds*	_____________	yes___no___

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that cannot be disbursed to students by the end of the third business day after receipt.

668.166(b)	1.	Is the institution aware of the excess cash tolerances and the procedures set forth to determine the institution's tolerance limit?	_____________	yes___no___
668.166(c)	2.	Is the institution aware of the consequences for maintaining excess cash balances?	_____________	yes___no___
✦668.166(a)(2)	3.	✦Is the institution aware that funds received under the Just-in-time Payment Method are exempt from the excess cash requirements?	_____________	yes___no___

Recommended Good Practices Related to Cash Management

Practice **Comments**

1. The institution should ensure that it has sufficient personnel responsible for monitoring its Title IV cash needs to prevent having excess cash on hand.
2. The institution should document its policies and procedures governing cash management and include such in its policies and procedures manual. The policies and procedures should be reviewed and updated as needed to reflect the institution's current practices.
3. When constructing authorization statements for cash management purposes, the Department of Education strongly recommends the use of examples to more clearly illustrate the nature of the services authorized in the statement.
4. The school should not make other services contingent on the student's/parent's authorization of services under cash management. For example, the school must not limit parking permits only to students who authorize the school to apply Title IV funds toward institutional charges.

Comments on Cash Management

Comments (Cont'd)

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Self-Evaluation Guide for Institutional Participation in Title IV and Other Federal Programs

Part 4: Appendices

Appendix A: Document Control

Listed below are recommended resources. Some of these documents might be in the Financial Aid Office, others in the Fiscal Office. Check the response column to indicate if documents applicable to the institution are readily available.

Resource	**Available**
A. Audit Information	
1. Accounting, Recordkeeping, and Reporting by Postsecondary Educational Institutions for Federally Funded Student Financial Aid [SFA] Programs (The Blue Book), U.S. Department of Education [USDE]; July 1995	yes___no___n/a___
2. Accounting, Recordkeeping, and Reporting by Postsecondary Educational Institutions for Federally Funded SFA Programs (The Blue Book), USDE; May 1991	yes___no___n/a___
3. Accounting, Recordkeeping, and Reporting by Postsecondary Educational Institutions for Federally Funded SFA Programs (The Blue Book), USDE; December 1988	yes___no___n/a___
1. Supplemental Guide to the Department of Education Blue Book, National Association of College and University Business Officers [NACUBO]; 1989	yes___no___n/a___
4. Audit Guide, Student Financial Assistance Programs, USDE, Office of Inspector General, Office of Audit; June 1995	yes___no___n/a___
5. Audit Guide, Student Financial Assistance Programs, USDE, Office of Inspector General, Office of Audit; March 1990	yes___no___n/a___
6. Student Financial Assistance Programs, Audit Guide, USDE, Office of Inspector General, Office of Audit; May 1988	yes___no___n/a___
7. Government Auditing Standards, Comptroller General of the United States, US General Accounting Office; 1994 Revision	yes___no___n/a___
8. Standards for Audit of Governmental Organizations, Programs, Activities and Functions, by the Comptroller General of the United States, US General Accounting Office; 1981 Revision	yes___no___n/a___
9. Audits of Institutions of Higher Education and Other Nonprofit Organizations, Circular A-133, OMB; March 1990 [supersedes OMB Circular A-110, Attachment F]	yes___no___n/a___
10. Audits of State and Local Governments, Circular A-128, Office of Management and Budget [OMB]; April 1985 (revision pending)	yes___no___n/a___
11. Student Financial Assistance: A Program for the Department of Education Audit Guide, NASFAA; 1990 Revision	yes___no___n/a___

Resource	**Available**
12. Student Financial Assistance: A Program for the Department of Education Audit Guide, NASFAA Special Report #28; 1988 Revision	yes___no___n/a___
13. Student Financial Assistance: A Program for the Department of Education Audit Guide, NASFAA Special Report #16; 1986 Revision	yes___no___n/a___

B. General Financial Aid Information

1. Federal Student Financial Aid Handbook USDE, SFA Programs, for relevant years	yes___no___n/a___
2. Student Aid Monograph Series, entitled The Business Officer's Guide to Student Aid, SFA Programs, Student Financial Assistance Training Program:	yes___no___n/a___
1. Managing Student Financial Aid: Techniques for Business and Fiscal Officers; 1981	yes___no___n/a___
2. The Financial Aid Audit; August 1981	yes___no___n/a___
3. The Counselor's Handbook for Postsecondary Schools, USDE, SFA Programs, for relevant years	yes___no___n/a___
4. The EFC Formula Book, (previously entitled Congressional Methodology, or The Family Contribution Formula), USDE, SFA Programs, for relevant years	yes___no___n/a___
5. Verification Guide for Title IV Programs, USDE, SFA Programs, for relevant years	yes___no___n/a___
6. EDExpress User's Guide, USDE, SFA Programs for relevant years	yes___no___n/a___
7. General Electronic Support (GES) User's Guide, USDE, SFA Programs for relevant years	yes___no___n/a___
8. Student Financial Aid Guidelines, DHHS, Public Health Service, Health Services Administration Bureau of Health Personnel Development and Service, October, 1993	yes___no___n/a___
9. Student Financial Aid Guidelines, DHHS, Public Health Service, Health Services Administration Bureau of Health Personnel Development and Service, October, 1980	yes___no___n/a___
10. Confirmation of Noncitizen Status for Title IV Student Financial Assistance for the 1989-90 Award Year. A Financial Aid Administrator's Guide, USDE (with Dear Colleague Letter GEN-90-21); March 1989	yes___no___n/a___
11. College and University Business Administration, 5th Edition, Chapter 22, *Student Financial Aid*, NACUBO; 1992	yes___no___n/a___
12. Overview of Student Financial Aid for Business Officers (replaces Management of Student Aid), NACUBO; October 1988 [discontinued]	yes___no___n/a___
13. Student Loan Programs: Management and Collection, NACUBO; 1991 (replaces Student Loan Collection Procedures) [discontinued pending revision]	yes___no___n/a___

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Resource **Available**

14. Student Loan Collection Procedures, NACUBO; 1985 [discontinued] yes___no___n/a___

C. Program Specific Information

1. Electronic FISAP User Guide, USDE, SFA Programs; Revised August 1996 yes___no___n/a___
2. Federal Pell Grant Payment Schedules, USDE, SFA Programs, for relevant years yes___no___n/a___
3. The Pell Grant Formula (Pell Grant Student Aid Index Calculation Book), USDE, SFA Programs, for relevant years yes___no___n/a___
4. Recipients Guide for the Department of Education Payment Management System, USDE, October; 1995 yes___no___n/a___
5. Recipients Guide for the Department of Education Payment Management System, USDE, October; 1993 yes___no___n/a___
6. Recipient's Guide, USDE, Payment Management System; April 1989 yes___no___n/a___
7. Payment Management System Users Manual, Introduction and User Requirements, USDE, Office of the Comptroller, Financial Management Service; December 1985 (EDPMS) yes___no___n/a___
8. The DHHS Manual for Recipients Financed Under the Payment Management System (PMS), U.S. Department of Health and Human Services, Office of Finance; January 1984 yes___no___n/a___
9. National Defense/Direct Student Loan Program, Deferment and Cancellation Guide, USDE, SFA Programs; February 1985 yes___no___n/a___
10. Direct Loan School Guide, USDE, SFA Programs; for relevant years yes___no___n/a__
11. Direct Loan Users Guide, USDE, SFA Programs; for relevant years yes___no___n/a__
12. The Reconciliation Guide for Direct Loans, USDE, SFA Programs; April 1995 yes___no___n/a___

D. NASFAA Information

1. The NASFAA Encyclopedia of Student Financial Aid, NASFAA; 1984, as updated yes___no___n/a___
2. Use of Federal Income Tax Return in Need Analysis, NASFAA Special Report #25; February 1988 yes___no___n/a___
3. Loan Counseling: Requirements and Good Practice, NASFAA Monograph Series, No. VI; November 1987 yes___no___n/a___
4. Scholarships and Fellowships: The Tax Reform Act of 1986, NASFAA Special Report #23; June 1987 yes___no___n/a___

Resource	Available
5. Handbook for Employers: Instructions for Completing Form I-9 [M-274 (5-87)], U.S. Immigration and Naturalization Service. (Also available as NASFAA Special Report #22; June 1987)	yes___no___n/a___
6. Professional Judgement in Eligibility Determination and Resource Analysis, NASFAA Monograph #10; November 1993	yes___no___n/a___
7. Constructing Student Expense Budgets, NASFAA Monograph #9; April 1993 An update of Monographs #3 & #8	yes___no___n/a___
8. Constructing Student Expense Budgets, NASFAA Monograph #8; June 1988	yes___no___n/a___
9. Professional Judgment in Need Analysis, NASFAA Monograph #7; November 1987	yes___no___n/a___
10. Loan Counseling: Requirements and Good Practices, NASFAA Monograph #6; November 1987	yes___no___n/a___
11. Stages in the Development of a Financial Counseling and Debt Management Model, NASFAA Monograph #5; July 1984	yes___no___n/a___
12. Standards for the Verification of Information to Determine Financial Aid Eligibility, NASFAA Monograph #4; April 1984	yes___no___n/a___
13. Constructing Student Expense Budgets, NASFAA Monograph #3; February 1984	yes___no___n/a___
14. Standards for the Development of Policy Guidelines for Packaging Need-Based Financial Aid, NASFAA Monograph #2; April 1983	yes___no___n/a___
15. Standard of Satisfactory Academic Progress to Maintain Financial Eligibility - A Self Regulation Initiative, NASFAA Monograph #1; April 1982	yes___no___n/a___

E. Student Financial Assistance Regulations

1. General Provisions and Institutional Eligibility:

   a. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, Federal Pell Grant, Federal Family Education Loan Program, and Ford Federal Direct Loan Program — Cash Management; Final Rule; 34 CFR Part 668, et al.; November 29, 1996

   b. Institutional Eligibility and Student Assistance General Provision; Final Rule; 34 CFR Part 668, November 29, 1996

   c. Student Assistance General Provisions; Final Rule; 34 CFR Part 668, November 27, 1996

   d. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, and Federal Pell Grant; Final Rule; 34 CFR Part 668, et al.; November 27, 1996

	Resource	**Available**
e.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Ford Federal Direct Loan, and Federal Pell Grant Programs; Final Rule; 34 CFR Part 668, et al.; November 19, 1996	yes___no___n/a___
f.	List of Approved "Ability to Benefit" Tests and Passing Scores; Notice; October 25, 1996	
g.	Higher Education Act of 1965; Student Financial Assistance Programs; Federal Regulatory Review; Final Rule; 34 CFR Part 668, et al.; December 1, 1995	yes___no___n/a___
h.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668; December 1, 1995	yes___no___n/a___
i.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668; November 29, 1995	yes___no___n/a___
j.	Institutional Eligibility Under the Higher Education Act of 1965, as Amended; 34 CFR Part 600, 667, 668, 674; June 30, 1995	yes___no___n/a___
k.	Nonprocurement Debarment and Suspension and Federal Acquisition Regulation; Debarment, Suspension, and Ineligibility (Ethics); Proposed Rules; 34 CFR Parts 85, 668 and 682; December 20, 1994	yes___no___n/a___
l.	Student Assistance General Provisions; Federal Perkins Loan Program; Federal Supplemental Educational Opportunity Grant Program; Federal Work-Study Program; Federal Family Educational Loan Programs; Federal Pell Grant Program; Final Rule; 34 CFR Part 668, et al.; December 1, 1994	yes___no___n/a___
m.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668; November 29, 1994 (appeals of cohort default rates)	yes___no___n/a___
n.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668; November 29, 1994 (verification)	yes___no___n/a___
o.	Institutional Eligibility; Student Assistance General Provisions; Federal Family Education Loan Program; Final Rule; 34 CFR Part 600, et al; November 29, 1994	yes___no___n/a___
p.	Student Assistance General Provisions; Notice of Revised Effective Date; Revises effective date of April 29, 1994 Interim Final Regulations to July 1, 1994; 34 CFR Part 668; June 30, 1994	yes___no___n/a___
q.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Federal Direct Student Loan, and Federal Pell Grant Programs; Notice of relief from regulatory provisions; correction; 34 CFR Parts 668, 674, 675, 676, 682, 685, and 690; June 30, 1994 (Corrects April 13, 1994 Notice to include Midwest flood victims)	yes___no___n/a___

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Resource		Available
r.	Student Assistance General Provisions; Federal Family Education Loan Programs; Federal Pell Grant Program; Interim Final Regulations With Invitation for Comments; 34 CFR Parts 668, 682, 690; April 29, 1994	yes___no___n/a___
s.	Student Assistance General Provisions; Interim Final Regulations With Invitation for Comments; 34 CFR Part 668; April 29, 1994	yes___no___n/a___
t.	Student Assistance General Provisions; Campus Safety; Final Regulations; 34 CFR 668; April 29, 1994	yes___no___n/a___
u.	Student Assistance General Provisions; Final Regulations; 34 CFR 668; April 28, 1994	yes___no___n/a___
v.	Student Assistance General Provisions; Federal Perkins Loan, FSEOG, Federal Work Study, Federal Family Education Loan Program, Federal Pell Grants; Notice of Relief from Regulatory Provisions; 34 CFR 668, 674, 675, 676, 682, 685, 690; April 13, 1994 (A June 30, 1994 Notice later corrected this Notice to include Midwest flood victims)	yes___no___n/a___
w.	Student Assistance General Provisions; Notice of Revised Effective Date; Final Regulations; 34 CFR Part 688; December 30, 1993 (Revises effective dates of regulations published 7/23/93)	yes___no___n/a___
x.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668, et al., October 6, 1993	yes___no___n/a___
y.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668, June 8, 1993	yes___no___n/a___
z.	Institutional Eligibility Under the Higher Education Act of 1965, as amended; Student Assistance General Provisions; Final Rule; 34 CFR Parts 600 and 668, March 10, 1993	yes___no___n/a___
aa.	Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, January 7, 1993	yes___no___n/a___
bb.	Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, December 17, 1992	yes___no___n/a___
cc.	Institutional Eligibility under the Higher Education Act of 1965, as amended; Student Assistance General Provisions; Final Rule; 34 CFR Parts 600 and 668, December 3, 1992	yes___no___n/a___
dd.	Institutional Eligibility under the Higher Education Act of 1965, as amended; Student Assistance General Provisions; Final Rule; 34 CFR Parts 600 and 668, October 19, 1992	yes___no___n/a___
ee.	Student Assistance General Provisions; Final Rule; 34 CFR Part 668, August 27, 1992	yes___no___n/a___

APPENDIX A

Resource	Available
ff. Student Assistance General Provisions; Final Rule; 34 CFR Part 668, December 23, 1991	yes___no___n/a___
gg. Student Assistance General Provisions; Final Regulations; Final Rule; 34 CFR Part 668, December 2, 1991	yes___no___n/a___
hh. Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, July 31, 1991	yes___no___n/a___
ii. Institutional Eligibility; Final Regulations; 34 CFR Part 600, July 31, 1991	yes___no___n/a___
jj. Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, July 19, 1991	yes___no___n/a___
kk. Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, August 7, 1990	yes___no___n/a___
ll. Institutional Eligibility Under the Higher Education Act of 1965, as Amended; 34 CFR Part 600; Final Regulations; August 7, 1990	yes___no___n/a___
mm. Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, November 3, 1989	yes___no___n/a___
nn. Student Assistance General Provisions and Guaranteed Student Loan and PLUS Programs; Rule; Correction; 34 CFR Parts 668 and 682, October 27, 1989 (Corrects regulations published June 5, 1989)	yes___no___n/a___
oo. Student Assistance General Provisions and Guaranteed Student Loan and PLUS Programs; Rule; Correction; 34 CFR Parts 668 and 682, September 7, 1989 (Corrects regulations published August 24, 1989)	yes___no___n/a___
pp. Student Assistance General Provisions and Guaranteed Student Loan and PLUS Programs; Final Regulations; 34 CFR Parts 668 and 682, August 24, 1989	yes___no___n/a___
qq. Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, June 5, 1989	yes___no___n/a___
rr. Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, August 30, 1988	yes___no___n/a___
ss. Institutional Eligibility Under the Higher Education Act; Final Regulations; 34 CFR Parts 600 and 668, April 5, 1988	yes___no___n/a___
tt. Student Assistance General Provisions and Pell Grant Program; Final Regulations; 34 CFR Parts 668 and 690, December 1, 1987	yes___no___n/a___
uu. Institutional Quality Control Pilot Project; Final Rule and Notice; 34 CFR Part 668, October 23, 1987	yes___no___n/a___

Resource		**Available**
vv.	Student Assistance, Postsecondary Education; Appeal Procedures for Audit Determinations and Program Review Determinations; Final Regulations; 34 CFR Part 668, August 12, 1987	yes___no___n/a___
ww.	Student Assistance General Provisions; Final Regulations; Institutional Quality Control Pilot Project; 34 CFR Part 668, December 1, 1986	yes___no___n/a___
xx.	Student Assistance General Provisions; Subparts D, F, and G; Final Regulations; 34 CFR Part 668, December 1, 1986	yes___no___n/a___
yy.	Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, November 28, 1986	yes___no___n/a___
zz.	Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, November 19, 1986	yes___no___n/a___
aaa.	Postsecondary Education; Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, August 15, 1986	yes___no___n/a___
bbb.	Student Assistance General Provisions and Pell Grant Program; Verification of Application Information; Final Regulations; 34 CFR Parts 668 and 690, March 14, 1986	yes___no___n/a___
ccc.	Student Assistance General Provisions; Final Regulations; 34 CFR Part 668, June 28, 1985	yes___no___n/a___
ddd.	Student Assistance General Provisions and Pell Grant Program; Final Rule; 34 CFR Parts 668 and 690, October 6, 1983	yes___no___n/a___
eee.	Definition of Independent Student; Final Regulations; 34 CFR Part 668, August 30, 1983	yes___no___n/a___
fff.	Selective Service Registration; Student Assistance Programs; Final Regulations; 34 CFR Part 668, April 11, 1983 (see also "Dear Colleague" letter 83-TD-072, July 1, 1983 and "Dear Colleague letters 83-TD-073, July 31, 1983 and August 1983)	yes___no___n/a___
ggg.	Expected Family Contributions (Common Need Analysis) for Pell Grant, National Direct Student Loan, College Work-Study, and Supplemental Educational Opportunity Grant Programs; Proposed Regulations; 34 CFR Part 668, October 16, 1981	yes___no___n/a___
hhh.	General Provisions Relating to Student Assistance Programs; Final Regulations; 34 CFR Part 668, December 31, 1980	yes___no___n/a___
iii.	General Provisions Relating to Student Assistance Programs; Final Regulations; 34 CFR Parts 168, 174, 175, 176, 177, and 190, June 24, 1980	yes___no___n/a___
jjj.	General Provisions Relating to Student Assistance Programs; Interim Final Regulations; 45 CFR Part 168, September 28, 1979	yes___no___n/a___

Resource	Available
kkk. Corrections to Limitation, Suspension or Termination of Institutional Eligibility Regulations of December 23, 1977, February 14, 1978	yes___no___n/a___
lll. Procedures for Limitation, Suspension or Termination of Institutional Eligibility for Programs under Title IV of the Higher Education Act of 1965; Final Regulations; 45 CFR Part 168(h), December 23, 1977	yes___no___n/a___
mmm. Student Consumer Information Services; Final Regulations; 45 CFR Part 178, December 1, 1977	yes___no___n/a___
nnn. Incentive Grants for State Student Financial Assistance Training Programs; 45 CFR Part 178a, September 14, 1977, 42 F.R. 46047-49	yes___no___n/a___
2. Need Analysis:	
a. Federal Pell Grant, Federal Perkins Loan, Federal Work-Study, Federal SEOG, Federal Family Education Loan and William D. Ford Federal Direct Loan Programs; Updates to Tables used in the Need Analysis Methodology for 1997-98 Award Year; Notice; May 31, 1996	yes___no___n/a___
b. Federal Pell Grant Program ; Need Analysis Methodology for 1996-97 Award Year, Revision; Notice; May 31, 1995	yes___no___n/a___
c. Federal Pell Grant, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Stafford Loan, and Federal Direct Student Loan Programs; Revision of Need Analysis Methodology for 1995-96 Award Year; Notice; May 17, 1994	yes___no___n/a___
d. Federal Pell Grant, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, and Federal Stafford Loan Programs; Revision of the Need Analysis Methodology for the 1994-95 Award Year; Notice; May 27, 1993	yes___no___n/a___
e. Pell Grant, Perkins Loan, College Work-Study, Supplemental Educational Opportunity Grant, and Stafford Loan Programs; Revision of the Need Analysis Systems for the 1993-94 Award Year; Notice, April 29, 1992	yes___no___n/a___
f. Congressional Methodology for the 1992-93 Award Year; Revision; Notice; May 8, 1991	yes___no___n/a___
g. Perkins Loan, College Work-Study, Supplemental Educational Opportunity Grant, and Stafford Loan programs; Need Analysis Systems; Notice [1991-92 Revisions]; May 24, 1990	yes___no___n/a___
h. Every year prior to 1988-89 the Department of Education published in the Federal Register a listing of need analysis systems approved for determining need approved for the campus-based and Stafford Loan programs for that award year. [Beginning with 1988-89, the only approved system is the Congressional Methodology.]	yes___no___n/a___

Resource	**Available**
3. Federal Pell Grant Program	
a. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, Federal Pell Grant, Federal Family Education Loan Program, and Ford Federal Direct Loan Program — Cash Management; Final Rule; 34 CFR Part 668, et al.; November 29, 1996	yes___no___n/a__
b. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, and Federal Pell Grant; Final Rule; 34 CFR Part 668, et al.; November 27, 1996	yes___no___n/a___
c. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Ford Federal Direct Loan, and Federal Pell Grant Programs; Final Rule; 34 CFR Part 668, et al.; November 19, 1996	yes___no___n/a___
d. Federal Pell Grant Program; Deadline Dates for receipt of Applications, reports, and other documents for the 1996-97 award year; Notice; September 9, 1996	yes___no___n/a___
e. Federal Pell Grant Program; Deadline Dates for receipt of Applications, reports, and other documents for the 1995-96 award year; Notice; April 17, 1996	yes___no___n/a___
f. Higher Education Act of 1965; Student Financial Assistance Programs; Federal Regulatory Review; Final Rule; 34 CFR Part 668, et al.; December 1, 1995	yes___no___n/a___
g. Student Assistance General Provisions; Federal Perkins Loan Program; Federal Supplemental Educational Opportunity Grant Program; Federal Work-Study Program; Federal Family Educational Loan Programs; Federal Pell Grant Program; Final Rule; 34 CFR Part 668, et al.; December 1, 1994	yes___no___n/a___
h. Federal Pell Grant Program; Presidential Access Scholarship Program; Final Rule; 34 CFR Parts 690 and 691; November 1, 1994	yes___no___n/a___
i. Federal Pell Grant Program; Deadline dates for receipt of applications, reports, and other documents for the 1994-95 award year; Notice; August 8, 1994	yes___no___n/a___
j. Federal Pell Grant Program; Notice; Deadline dates for Department of Education to receive documents from applicants and institutions for 1994-95 Federal Pell Grant Program; 34 CFR 690; August 1, 1994	yes___no___n/a___
k. Student Assistance General Provisions; Federal Family Education Loan Programs; Federal Pell Grant Program; Interim Final Regulations With Invitation to Comment; 34 CFR Parts 668, 682, 690; April 29, 1994	yes___no___n/a___
l. Student Assistance General Provisions; Federal Perkins Loan, FSEOG, Federal Work Study, Federal Family Education Loan Program, Federal Pell Grants; Notice of Relief from Regulatory Provisions; 34 CFR 668, 674, 675, 676, 682, 685, 690; April 13, 1994	yes___no___n/a___

Resource		**Available**
m.	Federal Pell Grant Program; Notice; deadline dates for receipt of applications, reports, and other documents for the 1993-94 award year; 34 CFR Part 690, March 23, 1994	yes___no___n/a___
n.	Pell Grant Program; Final Regulations; 34 CFR Part 690, June 25, 1992	yes___no___n/a___
o.	Pell Grant Program; 1992-93 Award Year Zero Pell Grant Index (PGI) Charts; May 27, 1992 (Corrects Notice published May 4, 1992)	yes___no___n/a___
p.	Pell Grant Program; 1992-93 Award Year Zero Pell Grant Index (PGI) Charts; Notice, May 4, 1992	yes___no___n/a___
q.	Pell Grant Program; Final Rule; 34 CFR Part 690, November 6, 1991	yes___no___n/a___
r.	Pell Grant Program; Waivers and Modifications of Specific Statutory and Regulatory Provisions; Notice, September 16, 1991	yes___no___n/a___
s.	Family Contribution Schedule Methodology for the 1992-93 Award Year; Revision; Notice; May 8, 1991	yes___no___n/a___
t.	Pell Grant Program; Publication of the 1991-92 Award Year Zero Pell Grant Index Charts; April 9, 1991	yes___no___n/a___
u.	Pell Grant Program; Final Regulations; 34 CFR Part 690; January 16, 1991	yes___no___n/a___
v.	Pell Grant Program; Publication of the 1990-91 Award Year Zero Pell Grant Index (PGI) Charts; Notice; June 22, 1990	yes___no___n/a___
w.	Pell Grant Program; Need Analysis Systems [1991-92 revisions]; Notice; May 24, 1990	yes___no___n/a___
x.	Pell Grant Program; Calculation of Family Contributions; Final Regulations; April 5, 1990 (For use in the 1990-91 award year)	yes___no___n/a___
y.	Pell Grant Program; 1989-90 Zero Student Aid Index Charts; Notice; April 5, 1990	yes___no___n/a___
z.	Pell Grant Program; Final Regulations; 34 CFR Part 690, April 12, 1989	yes___no___n/a___
aa.	Student Assistance General Provisions and Pell Grant Program; Final Regulations; 34 CFR Parts 668 and 690, December 1, 1987	yes___no___n/a___
bb.	Pell Grant Program; Final Regulations; 34 CFR Part 690, October 14, 1987	yes___no___n/a___
cc.	Pell Grant Program; Schedule of Expected Family Contributions and Cost of Attendance; Final Regulations; 34 CFR Part 690, January 30, 1987	yes___no___n/a___
dd.	Pell Grant Program; Final Regulations; 34 CFR Part 690, November 28, 1986	yes___no___n/a___
ee.	Pell Grant Program; Final Regulations; 34 CFR Part 690, November 19, 1986	yes___no___n/a___

Resource	**Available**
ff. Pell Grant Program; Schedule of Expected Family Contributions; Final Regulations; 34 CFR Part 690, June 4, 1986	yes___no___n/a___
gg. Pell Grant Program; Final Regulations; 34 CFR Part 690, March 14, 1986	yes___no___n/a___
hh. Pell Grant Program; Schedule of Expected Family Contributions and Family Size Offsets; Final Regulations; 34 CFR Part 690, February 4, 1986	yes___no___n/a___
ii. Pell Grant Program; Cost of Attendance; Final Regulations; 34 CFR Part 690, May 7, 1985	yes___no___n/a___
jj. Pell Grant Program; Schedule of Expected Family Contributions; Final Regulations; 34 CFR Part 690, May 7, 1985	yes___no___n/a___
kk. Pell Grant Program; Final Rule; 34 CFR Part 690, March 15, 1985	yes___no___n/a___
ll. Pell Grant Program; Schedule of Expected Family Contributions and Family Size Offsets; Final Regulations; 34 CFR Part 690, January 9, 1985	yes___no___n/a___
mm. Family Contribution Schedules; 34 CFR, March 20, 1984	yes___no___n/a___
nn. Cost of Attendance; CFR 690, February 22, 1984	yes___no___n/a___
oo. Family Contribution Schedule; Family Size Offsets; 34 CFR Part 690, December 28, 1983	yes___no___n/a___
pp. Family Contribution Schedules for 1984-85; Final Regulations; 34 CFR Part 690, May 13, 1983	yes___no___n/a___
qq. Family Contribution Schedule; 34 CFR Part 690, October 28, 1982	yes___no___n/a___
rr. Cost of Attendance; 34 CFR Part 690, May 13, 1982	yes___no___n/a___
ss. Expected Family Contribution Schedules for 1982-83; Final Regulations; 34 CFR Part 690, January 6, 1982	yes___no___n/a___
tt. Cost of Attendance; Final Regulations; 34 CFR Part 690, July 22, 1981	yes___no___n/a___
uu. Revision in the 1981-82 Family Contribution Schedules; Final Regulations; 34 CFR Part 690, March 13, 1981	yes___no___n/a___
vv. Cost of Attendance, Pell Grant; Final Regulations; 34 CFR Part 690, January 21, 1981	yes___no___n/a___
ww. Family Contribution Schedules 1981-82; Final Regulations; 34 CFR Part 690, January 19, 1981	yes___no___n/a___
xx. Final Regulations; 34 CFR Part 690, December 30, 1980	yes___no___n/a___
yy. Family Contribution Schedules and Definition of Independent Student, 1980-81; Final Regulations; 45 CFR Parts 174, 175, 176, and 190, April 30, 1980	yes___no___n/a___

	Resource	**Available**
zz.	Revision to Family Contribution Schedule, 1979-80; Final Regulations; 45 CFR Part 190, May 30, 1979	yes___no___n/a___
aaa.	Family Contribution Schedules, 1979-80; Final Regulations; 45 CFR Part 190, March 23, 1979	yes___no___n/a___
bbb.	Final Regulations; 45 CFR Part 190, January 25, 1979	yes___no___n/a___
ccc.	Family Contribution Schedules, 1978-79; Final Regulations; 45 CFR Part 190, January 30, 1978	yes___no___n/a___
ddd.	Family Contribution Schedules, 1977-78; Final Regulations; 45 CFR Part 190, June 30, 1977	yes___no___n/a___
eee.	Family Contribution Schedules, 1976-77; Final Regulations; 45 CFR Part 190, June 11, 1976	yes___no___n/a___
fff.	Family Contribution Schedules, 1975-76; Final Regulations; 45 CFR Part 190, April 4, 1975	yes___no___n/a___
ggg.	Expected Family Contributions Schedule, 1974-75; Final Regulations; 45 CFR Part 190, July 2, 1974	yes___no___n/a___
hhh.	Family Contribution Schedules, 1973-74; Final Regulations; 45 CFR Part 190, February 2, 1973	yes___no___n/a___
4.	State Student Incentive Grant Program:	
a.	State Student Incentive Grant Program; Final Rule; 34 CFR Part 692, January 28, 1994	yes___no___n/a___
b.	State Student Incentive Grant Program; Final Regulations; 34 CFR Part 692, November 27, 1987	yes___no___n/a___
c.	State Student Incentive Grant Program; Final Regulations; 34 CFR Part 692, December 1, 1986	yes___no___n/a___
d.	Final Regulations; 34 CFR Part 692, July 14, 1981	yes___no___n/a___
e.	Final Regulations; 45 CFR Part 192, September 14, 1977	yes___no___n/a___
5.	Campus-based Programs:	
a.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, Federal Pell Grant, Federal Family Education Loan Program, and Ford Federal Direct Loan Program — Cash Management; Final Rule; 34 CFR Part 668, et al.; November 29, 1996	yes___no___n/a___
b.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, and Federal Pell Grant; Final Rule; 34 CFR Part 668, et al.; November 27, 1996	yes___no___n/a___

Resource		**Available**
c.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Ford Federal Direct Loan, and Federal Pell Grant Programs; Final Rule; 34 CFR Part 668, et al.; November 19, 1996	yes___no___n/a___
d.	Higher Education Act of 1965; Student Financial Assistance Programs; Federal Regulatory Review; Final Rule; 34 CFR Part 668, et al.; December 1, 1995	yes___no___n/a___
e.	Institutional Eligibility Under the Higher Education Act of 1965, as Amended; 34 CFR Part 600, 667, 668, 674; June 30, 1995	yes___no___n/a___
f.	Student Assistance General Provisions; Federal Perkins Loan Program; Federal Supplemental Educational Opportunity Grant Program; Federal Work-Study Program; Federal Family Educational Loan Programs; Federal Pell Grant Program; Final Rule; 34 CFR Part 668, et al.; December 1, 1994	yes___no___n/a___
g.	Federal Perkins Loan Program, Federal Work-Study Programs, and Federal Supplemental Educational Opportunity Grant Program; Final Rule, 34 CFR Part 674, et al.; November 30, 1994	yes___no___n/a___
h.	Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant Programs; Notice of Closing Date for Filing the Fiscal Operations Report and Application to Participate; 34 CFR Part 674 et al.; August 23, 1994	yes___no___n/a___
i.	Federal Perkins Loan; Notice of availability of the amendments to the 1993-94 National Direct Student Loan and Federal Perkins Loan Programs Directory of Designated Low-Income Schools; 34 CFR Part 674; August 5, 1994	yes___no___n/a___
j.	Student Assistance General Provisions; Federal Perkins Loan, FSEOG, Federal Work Study, Federal Family Education Loan Program, Federal Pell Grants; Notice of Relief from Regulatory Provisions; 34 CFR 668, 674, 675, 676, 682, 685, 690; April 13, 1994	yes___no___n/a___
k.	Federal Perkins Loan, Federal Work-Study, and Federal Supplemental Education Opportunity Grant Programs; Notice of Revised Hardware Requirements, July 29, 1993	yes___no___n/a___
l.	Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, et al., Rule; 34 CFR Part 674 et al., April 23, 1993	yes___no___n/a___
m.	Federal Perkins Loan Program, Federal Work-Study Program, and Federal Supplemental Educational Opportunity Grant Program; Final Regulations; 34 CFR Parts 647, 675, and 676, December 21, 1992	yes___no___n/a___
n.	Perkins Loan Program, College Work Study Program, Supplemental Opportunity Grant Program; Final Rule; 34 CFR Parts 674, 675 and 676, July 21, 1992	yes___no___n/a___
o.	Perkins Loan Program; Waivers and Modifications of Specific Statutory and Regulatory Provisions; Notice, September 16, 1991	yes___no___n/a___

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Resource		Available
p.	Perkins Loan, College Work-Study, and Supplemental Educational Opportunity Program; Notice of Electronic Submission of FISAP Requirement; January 22, 1991	yes___no___n/a___
q.	ICL Program; Final Regulations; 34 CFR Part 673, November 6, 1989	yes___no___n/a___
r.	Perkins Loan Program, College Work-Study Program, and Supplemental Educational Opportunity Grant Program; Final Rule; 34 CFR Parts 674, 675, and 676, December 28, 1988	yes___no___n/a___
s.	College Work-Study and Job Location and Development Programs; Final Regulations; 34 CFR Part 675, August 10, 1988	yes___no___n/a___
t.	Perkins Loan Program, College Work-Study Program, and Supplemental Educational Opportunity Grant Program; Final Regulations; 34 CFR Parts 674, 675, and 676, December 1, 1987	yes___no___n/a___
u.	Perkins Loan Program; Final Regulations; 34 CFR Part 674, November 30, 1987	yes___no___n/a___
v.	Income Contingent Loan Program Demonstration Project; Final Regulations; 34 CFR Part 673, August 5, 1987	yes___no___n/a___
w.	Income Contingent Loan Program Demonstration Project; Final Regulations; 34 CFR Part 673, May 12, 1987	yes___no___n/a___
x.	NDSL, CWS and SEOG Programs; Final Regulations; 34 CFR Parts 674, 675, and 676, November 19, 1986	yes___no___n/a___
y.	National Direct Student Loan Program; Final Regulations; 34 CFR Part 674, September 22, 1986	yes___no___n/a___
z.	Postsecondary Education; National Direct Student Loan Program; Final Regulations; 34 CFR Part 674, August 6, 1986	yes___no___n/a___
aa.	NDSL, CWS and SEOG Programs (Definition of Independent Student); Final Regulations; 34 CFR Parts 674, 675, 676, August 30, 1983	yes___no___n/a___
bb.	Extension of Deadline for Participation in SEOG, CWS and NDSL Programs for the 1983-84 Award Year; 34 CFR Parts 674, 675, and 676 May 6, 1983	yes___no___n/a___
cc.	NDSL, CWS, and SEOG Programs; Annual Revision of Sample Cases and Benchmark Figures for 1983-84; 34 CFR Parts 674, 675, and 676. January 25, 1983	yes___no___n/a___
dd.	NDSL, CWS, and SEOG Programs; Final Regulations; 34 CFR Parts 674, 675, and 676. October 28, 1982	yes___no___n/a___
ee.	NDSL, CWS, and SEOG Programs; Final Regulations; 34 CFR Parts 674, 675, and 676, August 2, 1982	yes___no___n/a___

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Resource	**Available**
ff. NDSL, CWS, and SEOG Programs; Final Rule and Technical amendments; 34 CFR Parts 674, 675, and 676, July 30, 1982	yes___no___n/a___
gg. NDSL, CWS, and SEOG Programs; Annual Revision of Sample Cases and Benchmark Figures for 1982-83; 34 CFR Parts 674, 675, and 676, April 23, 1982	yes___no___n/a___
hh. NDSL, CWS, and SEOG Programs; Definition of Independent Student; Final Regulations; 34 CFR Parts 674, 675, and 676, January 6, 1982	yes___no___n/a___
ii. Notice of Schools Determined to have a High Concentration of Students from Low-Income Families for NDSL Teacher Cancellation for the 1981-82 School Year; 34 CFR 674, December 3, 1981	yes___no___n/a___
jj. Approved List of Need Analysis Systems for Awards to Students Under the NDSL, CWS, and SEOG Programs; 34 CFR Parts 674, 675 and 676, July 17, 1981	yes___no___n/a___
kk. Cost of Attendance; NDSL, CWS and SEOG Programs; Final Regulations; 34 CFR Parts 674, 675, and 676, January 21, 1981	yes___no___n/a___
ll. NDSL, CWS, and SEOG Programs; Final Regulations; 34 CFR Parts 674, 675, and 676, January 19, 1981	yes___no___n/a___
mm. Cancellation of Loan for Teaching Service for appropriate years	yes___no___n/a___
nn. NDSL, CWS, and SEOG Programs; Final Regulations; 45 CFR Parts 174, 175, and 176, March 13, 1980	yes___no___n/a___
oo. NDSL, CWS and SEOG Programs; Final Regulations; 45 CFR Parts 174, 144, 175 and 176, August 13, 1979	yes___no___n/a___
6. Federal Family Education Loan programs:	
a. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, Federal Pell Grant, Federal Family Education Loan Program, and Ford Federal Direct Loan Program -- Cash Management; Final Rule; 34 CFR Part 668, et al.; November 29, 1996	yes___no___n/a___
b. Federal Family Education Loan Program; Due Diligence Requirements; Final Rule; 34 CFR Part 682; November 27, 1997	yes___no___n/a___
c. Federal Family Education Loan Program; Guaranty Agency -- Conflict of Interest-Final Rule; 34 CFR Part 682; November 27, 1997	yes___no___n/a___
d. Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Ford Federal Direct Loan, and Federal Pell Grant Programs; Final Rule; 34 CFR Part 668, et al.; November 19, 1996	yes___no___n/a___

Resource		**Available**
e.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Ford Federal Direct Loan, and Federal Pell Grant Programs; Federal Regulatory Review; Final Rule; 34 CFR Part 668, et al.; December 1, 1995	yes___no___n/a___
f.	Federal Family Education Loan Program; Conforming Regulations; Final Rule; 34 CFR Part 682; December 1, 1995	yes___no___n/a___
g.	Nonprocurement Debarment and Suspension and Federal Acquisition Regulation; Debarment, Suspension, and Ineligibility (Ethics); Proposed Rules; 34 CFR Parts 85, 668 and 682; December 20, 1994	yes___no___n/a___
h.	Student Assistance General Provisions; Federal Perkins Loan Program; Federal Supplemental Educational Opportunity Grant Program; Federal Work-Study Program; Federal Family Educational Loan Programs; Federal Pell Grant Program; Final Rule; 34 CFR Part 668, et al.; December 1, 1994	yes___no___n/a___
i.	Federal Family Education Loan Program; Final Rule; 34 CFR 682; November 30, 1994	yes___no___n/a___
j.	Institutional Eligibility; Student Assistance General Provisions; Federal Family Education Loan Program; Final Rule; 34 CFR Part 600, et al; November 29, 1994	yes___no___n/a___
k.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; November 30, 1994	yes___no___n/a___
l.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; November 29, 1994	yes___no___n/a___
m.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; November 25, 1994	yes___no___n/a___
n.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; June 29, 1994	yes___no___n/a___
o.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; June 28, 1994	yes___no___n/a___
p.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; June 24, 1994	yes___no___n/a___
q.	Federal Family Education Loan Program, Final Rule; 34 CFR Part 682; June 16, 1994	yes___no___n/a___
r.	Federal Family Education Loan Program, Final Rule; Corrections and technical changes to final regulations issued December 18, 1992; 34 CFR Part 682, May 17, 1994	yes___no___n/a___

Resource		**Available**
s.	Student Assistance General Provisions, Federal Family Education Loan Program, Federal Pell Grant Program; Interim Final Regulations with Invitation for Comments; 34 CFR Parts 668, 682, 690; April 29, 1994	yes___no___n/a___
t.	Federal Family Education Loan Program; Final Regulations; 34 CFR Part 682; April 29, 1994	yes___no___n/a___
u.	Student Assistance General Provisions, Federal Perkins Loan, FSEOG, Federal Work Study, Federal Pell Grant, Federal Family Education Loan Program; Notice of Relief from Regulatory Provisions; 34 CFR Parts 668, 674, 675, 676, 682, 685, 690; April 13, 1994	yes___no___n/a___
v.	Federal Family Education Loan Program; Final Regulations (deletes school closure plan requirement); 34 CFR Part 682; April 11, 1994	yes___no___n/a___
w.	Federal Family Education Loan Program; Final Regulations; 34 CFR Part 682, January 7, 1993	yes___no__n/a___
x.	Federal Family Education Loan Programs; Final Regulations; 34 CFR Part 682, December 18, 1992	yes___no___n/a___
y.	Guaranteed Student Loan and PLUS Programs; Final Rule, 34 CFR Part 682, September 26, 1991	yes___no___n/a___
z.	Guaranteed Student Loan Programs; Waivers and Modifications of Specific Statutory and Regulatory Provisions; Notice, September 16, 1991	yes___no___n/a___
aa.	Guaranteed Student Loan Programs; Final Regulations; CFR Part 682, July 19, 1991	yes___no___n/a___
bb.	Guaranteed Student Loan and PLUS programs; Final Regulations; 34 CFR Part 682; August 27, 1990	yes___no___n/a___
cc.	Student Assistance General Provisions and Guaranteed Student Loan and PLUS Programs; Rule; Correction; 34 CFR Parts 668 and 682, October 27, 1989 (Corrects regulations published June 5, 1989)	yes___no___n/a___
dd.	Student Assistance General Provisions and Guaranteed Student Loan and PLUS Programs; Final Regulations; 34 CFR Parts 668 and 682, August 24, 1989	yes___no___n/a___
ee.	Student Assistance General Provisions and Guaranteed Student Loan and PLUS Programs; Rule; Correction; 34 CFR Parts 668 and 682, September 7, 1989 (Corrects regulations published August 24, 1989)	yes___no___n/a___
ff.	Guaranteed Student Loan and PLUS Programs; Final Regulations; 34 CFR Part 682, June 5, 1989	yes___no___n/a___
gg.	Guaranteed Student Loan and PLUS Programs; Final Regulations. 34 CFR Parts 682 and 683, November 10, 1986, "Major Changes to the GSL and PLUS Programs," December 1986; and Dear Colleague Letter GEN-88-34, October 1988)	yes___no___n/a___

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Resource	**Available**
hh. Guaranteed Student Loan Program, Schedule of Expected Family Contributions; Final Regulations, 34 CFR Part 682, June 4, 1986	yes___no___n/a___
ii. GSL Family Contribution Schedules, 34 CFR Part 682, April 15, 1986.	yes___no___n/a___
jj. Guaranteed Student Loan Program; Final Rule; 34 CFR Part 682; March 31, 1986	yes___no___n/a___
NOTE: The Schedule of Expected Family Contributions contained in this Federal Register were in error and were republished in the April 15, 1986 Federal Register.	
kk. GSL Family Contribution Schedules; 34 CFR Part 682, April 8, 1985.	yes___no___n/a___
ll. GSL Family Contribution Schedule; 34 CFR Parts 682 and 683, March 20, 1984	yes___no___n/a___
mm. PLUS Program; Final Regulations; 34 CFR Part 683, April 21, 1982	yes___no___n/a___
nn. Guaranteed Student Loan Program; Correction to Family Contribution Schedule for 1983-84; Final Regulations; 34 CFR Part 682, April 18, 1983	yes___no___n/a___
oo. Guaranteed Student Loan Program; Family Contribution Schedule for 1983-84; 34 CFR Part 682, April 1, 1983	yes___no___n/a___
pp. Guaranteed Student Loan Program; Family Contribution Schedule; May 3, 1982	yes___no___n/a___
qq. Cost of Attendance, GSL and PLUS; Final Regulations; 34 CFR Parts 682 and 683, January 21, 1981	yes___no___n/a___
rr. Final Regulations; Deferment Provisions; 34 CFR Part 682, January 16, 1981	yes___no___n/a___
ss. Final Regulations; Refund of Tuition Charges and Other Fees; 34 CFR Part 682, January 16, 1981	yes___no___n/a___
tt. Final Regulations; 34 CFR Part 177, June 24, 1980	yes___no___n/a___
uu. Final Regulations; 45 CFR Part 177, September 17, 1979	yes___no___n/a___
NOTE: Originally GSL Program regulations carried the designation 177 and PLUS Program regulations were designated 683. Beginning September 15, 1980, GSL regulations are designated 682. Effective November 10, 1986, GSL and PLUS regulations are combined into one set of regulations, all of which carry the 682 designation. (Part 682 also governs the Federal SLS Program, which was in effect until July 1, 1994.) Effective August 17, 1988, the GSL Program was renamed the Stafford Loan Program. Effective July 23, 1992, the Stafford Loan Program was renamed the Federal Stafford Loan Program, and the PLUS program was renamed the Federal PLUS Loan Program.	

7. William D. Ford Federal Direct Loan Program (formerly Federal Direct Student Loan Program):

APPENDIX A

Resource		Available
a.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal SEOG, Federal Pell Grant, Federal Family Education Loan Program, and Ford Federal Direct Loan Program — Cash Management; Final Rule; 34 CFR Part 668, et al.; November 29, 1996	yes___no___n/a___
b.	Student Assistance General Provisions, Federal Perkins Loan, Federal Work-Study, Federal Supplemental Educational Opportunity Grant, Federal Family Education Loan, Ford Federal Direct Loan, and Federal Pell Grant Programs; Final Rule; 34 CFR Part 668, et al.; November 19, 1996	yes___no___n/a___
c.	William D. Ford Federal Direct Loan Program; Notice of processing deadlines to submit loan records and promissory notes; Notice; 34 CFR 685; October 8, 1996	yes___no___n/a___
d.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR 685; June 19, 1996	yes___no___n/a___
e.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR 685; June 12, 1996	yes___no___n/a___
f.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR 685; December 1, 1995 (repayment amendments)	yes___no___n/a__
g.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR 685; December 1, 1995 (regulatory review)	yes___no___n/a__
h.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR 685; December 1, 1995 (improvements)	yes___no___n/a__
i.	William D. Ford Federal Direct Loan Program; Notice of Solicitation of Applications for 1996-97 Academic Year; December 29, 1994	yes___no___n/a___
j.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR Part 685; December 1, 1994	yes___no___n/a___
k.	William D. Ford Federal Direct Loan Program; Final Rule; 34 CFR Part 685; November 30, 1994	yes___no___n/a___
l.	Federal Direct Student Loan Program; Extension of Closing Date; September 2, 1994 (extends 1995-96 application closing date to November 1, 1994)	yes___no___n/a___
m.	Federal Direct Student Loan Program; Final Rule; 34 CFR Part 685; July 1, 1994	yes___no___n/a___
n.	Federal Direct Student Loan Program; Announcement for Criteria for Direct Loan Origination 1995-96; 34 CFR Part 685; April 26, 1994)	yes___no___n/a___
o.	Federal Direct Student Loan Program; Notice of Standards for Participation and Solicitation of Applications; 34 CFR Part 685; February 17, 1994	yes___no___n/a___

Resource	**Available**
p. Federal Direct Student Loan Program; Final Rule; 34 CFR Part 685 January 4, 1994	yes___no___n/a___
q. Federal Direct Student Loan Program; Standards, Criteria, and Procedures for Academic Year Beginning July 1, 1994; 34 CFR Part 685, January 4, 1994	yes___no___n/a___
r. Federal Direct Student Loan Program; Proposed Information Collection Requests; Notices; September 10, 1993	yes___no___n/a___
8. Health Professions Student Loan (HPSL):	
a. Low Income Levels for Health Professions and Nursing Programs; Notice 42 CFR Part 57, February 17, 1993	yes___no___n/a___
b. Grants for Construction of Teaching Facilities, Educational Improvements, Scholarships, and Student Loans; Final Regulation; 42 CFR Part 57, October 5, 1992	yes___no___n/a___
c. Health Professions Student Loan Program; Final Rule; 42 CFR Part 57, August 15, 1991	yes___no___n/a___
d. Health Professions Student Loan Program; Final Regulations; 42 CFR Part 57; April 26, 1991	yes___no___n/a___
e. Health Professions Student Loan Program; Final Regulations; 42 CFR Part 57, November 17, 1988	yes___no___n/a___
f. Health Professions Student Loan Program; Final Regulation; 42 CFR Part 57, February 29, 1988	yes___no___n/a___
g. Health Professions Student Loan Program; Final Rule; 42 CFR Part 57, June 3, 1987	yes___no___n/a___
h. Health Professions Student Loan Program; Final Regulation; 42 CFR Part 57, August 23, 1985	yes___no___n/a___
i. Health Professions Student Loan Program; Performance Standard; 42 CFR Part 57, December 30, 1983	yes___no___n/a___
j. Health Professions Student Loan Program; Final Regulations; 42 CFR Part 57, June 3, 1983	yes___no___n/a___
k. Health Professions Student Loan Program; Final Regulations; 42 CFR Part 57, August 31, 1982	yes___no___n/a___
l. Health Professions Student Loan Program; Corrections to Final Regulations; 42 CFR Part 57, June 7, 1979	yes___no___n/a___
m. Health Professions Student Loan Program; Final Regulations; 42 CFR Part 57, May 18, 1979	yes___no___n/a___

Resource	**Available**
9. Health Education Assistance Loan Program (HEAL):	
a. Health Education Assistance Loan Program; Correction; 42 CFR Part 60, January 21, 1994	yes___no___n/a___
b. Health Education Assistance Loan Program; Final Rule 42 CFR Part 60, December 21, 1993	yes___no___n/a___
c. Health Education Assistance Loan Program; Final Rule; Correction; 42 CFR Part 60, September 14, 1992	yes___no___n/a___
d. Health Education Assistance Loan Program; Final Rule; Correction; 42 CFR Part 60, July 9, 1992	yes___no___n/a___
e. Health Education Assistance Loan Program; Final Rule; 42 CFR Part 60, June 29, 1992	yes___no___n/a___
f. Health Education Assistance Loan Program; Final Rule; 42 CFR Part 60, August 29, 1991	yes___no___n/a___
g. Health Education Assistance Loan Program; Final Regulation; 42 CFR Part 60, February 29, 1988	yes___no___n/a___
h. Health Education Assistance Loan Program; Final Regulation; 42 CFR Part 60, January 8, 1987	yes___no___n/a___
i. Health Education Assistance Loan Program; Final Regulations; 42 CFR Part 60, August 28, 1986	yes___no___n/a___
j. Health Education Assistance Loan Program; Final Regulations; 42 CFR Part 60, August 26, 1983	yes___no___n/a___
k. Health Education Assistance Loan Program; Final Regulations; 42 CFR Part 60, January 27, 1981	yes___no___n/a___
l. Interim Final Regulations; 45 CFR Part 126, August 3, 1978	yes___no___n/a___
NOTE: HEAL was originally designated 45 CFR Part 126. The program regulations were redesignated 42 CFR Part 60 on January 27, 1981.	
10. Nursing Student Loan Program:	
a. Low Income Levels for Health Professions and Nursing Programs; Notice 42 CFR Part 57, February 17, 1993	yes___no___n/a___
b. Grants for Construction of Teaching Facilities, Educational Improvements, Scholarships, and Student Loans; Final Regulation, 42 CFR Part 57, October 5, 1992	yes___no___n/a___
c. Nursing Student Loan Program; Final Rule; 42 CFR Part 57, August 15, 1991	yes___no___n/a___

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Resource	**Available**
d. Nursing Student Loan Program; Final Regulations; 42 CFR Part 57; April 4, 1991	yes___no___n/a___
e. Nursing Student Loan Program; Final Regulations; 42 CFR Part 57, November 17, 1988	yes___no___n/a___
f. Nursing Student Loan Program; Definition of Exceptional Financial Need; Final Regulations; 42 CFR Part 57, May 21, 1987	yes___no___n/a___
g. Nursing Student Loan Program; Final Regulations; 42 CFR Part 57, March 30, 1987	yes___no___n/a___
h. Nursing Student Loan Program; Final Regulations; 42 CFR Part 57, August 23, 1985	yes___no___n/a___
i. Nursing Student Loan Program; Final Regulations; 42 CFR Part 57, May 9, 1974	yes___no___n/a___
j. Nursing Student Loan Program; Final Regulations; 42 CFR Part 57, June 28, 1972	yes___no___n/a___
11. National Health Service Corps Scholarship and Loan Repayment Programs:	
a. National Health Service Corps; Availability of Funds for the National Health Service Corps Loan Repayment Program and Grants for State Loan Repayment Programs; Notice; May 18, 1994	yes___no___n/a___
b. National Health Services Corps Scholarship Program; Final Rule; 42 CFR Part 62, November 6, 1991	yes___no___n/a___
c. Final Regulations; 42 CFR Part 62, August 20, 1980	yes___no___n/a___
12. Program of Financial Assistance for Disadvantaged Health Professions Students (FADHPS) and Exceptional Financial Need Scholarship (EFN):	
a. Final Definitions. Post-Residency Activities, and Student Agreement for Primary Health Care for the Exceptional Financial Need (EFN) and Financial Assistance for Disadvantaged Health Professions Students (FADHPS) Programs; Notice; 42 CFR Part 57, July 12, 1993	yes___no___n/a___
b. Grants for Construction of Teaching Facilities, Educational Improvements, Scholarships, and Student Loans; Final Regulation; 42 CFR Part 57, October 5, 1992	yes___no___n/a___
c. Final Regulations; 42 CFR Part 57, May 18, 1987	yes___no___n/a___
d. Final Regulations; 42 CFR Part 57, June 16, 1980	yes___no___n/a___
e. Interim Final Regulations; 42 CFR Part 57, August 22, 1978	yes___no___n/a___

Resource	**Available**
13. Scholarships for Disadvantaged Students (SDS):	
a. Final Funding Preferences for Scholarships for Disadvantaged Students; August 30, 1994	yes___no___n/a___
b. Program Announcement for Scholarships for Disadvantaged Students; Notice; May 20, 1993	yes___no___n/a___
c. Program Announcement for Scholarships for Disadvantaged Students; Notice; March 24, 1992	yes___no___n/a___
d. Final Announcement for Scholarships for Disadvantaged Students; Notice; October 1, 1991	yes___no___n/a___
e. Program Announcement for Scholarships for Disadvantaged Students; Notice; August 7, 1991	yes___no___n/a___
14. Loans for Disadvantaged Students (LDS):	
a. Program Announcement for Loans for Disadvantaged Students; Notice; March 9, 1992	yes___no___n/a___
b. Final Announcement for Loans for Disadvantaged Students; Notice; October 1, 1991	yes___no___n/a___
c. Program Announcement for Loans for Disadvantaged Students; Notice; August 14, 1991	yes___no___n/a___
15. Other Regulations	
a. Veterans Education: Implementation of the Veterans' Benefits Act of 1992 and the Department of Defense Authorization Act for Fiscal Year 1993 in the Post-Vietnam Era Veterans' Education; Final Rule; 38 CFR Part 21; February 27, 1996	yes___no___n/a__
b. Veterans Education: Implementation of the Veterans' Benefits Act of 1992, the National Defense Authorization Act for Fiscal Year 1993, and the National Defense Authorization Act for Fiscal Year 1994; Final Rule; 38 CFR Part 21; February 22, 1996	yes___no___n/a__
c. Institutional Eligibility Under the Higher Education Act of 1965, as Amended; 34 CFR Part 600, 667, 668, 674; June 30, 1995	yes___no___n/a__
d. Nonprocurement Debarment and Suspension and Federal Acquisition Regulation; Debarment, Suspension, and Ineligibility (Ethics); Proposed Rules; 34 CFR Parts 85, 668 and 682; December 20, 1994	yes___no___n/a__
e. Secretary's Procedures and Criteria for Recognition of Accrediting Agencies; State Postsecondary Review Program; Federal Family Education Loan Program; and Endowment Challenge Grant Program; 34 CFR Parts 602, 628, 667, 682; September 7, 1994	yes___no___n/a___

Resource		**Available**
f.	Secretary's Procedures and Criteria for Recognition of Accrediting Agencies; 34 CFR Part 602; April 29, 1994	yes___no___n/a___
g.	State Postsecondary Review Program; Final Regulations; 34 CFR 667; April 29, 1994	yes___no___n/a___
h.	Corporation for National and Community Service; Final Rule; 34 CFR Parts 2510, 2513, et al.; March 23, 1994	yes___no___n/a___
i.	Nondiscrimination in Federally Assisted Programs; Title VI of the Civil Rights Act of 1964; Notice; February 23, 1994	yes___no___n/a___
j.	Family Educational Rights and Privacy; Final Regulations; 34 CFR Part 99; January 7, 1993	yes___no___n/a___
k.	Privacy Act: Computer Matching Program; Notice, February 5, 1992	yes___no___n/a___
l.	Drug-Free Schools and Campuses; Final Regulations; 34 CFR Part 86; August 16, 1990	yes___no___n/a___
m.	Drug-Free Workplace Requirements; Final Rule; 34 CFR Part 85, May 25, 1990	yes___no___n/a___
n.	Restrictions on Lobbying; Interim Final Rule, February 26, 1990	yes___no___n/a___
o.	Drug-Free Workplace Requirements; Notice and Interim Final Rules, January 31, 1989	yes___no___n/a___
p.	Debt Collection; Final Rule; 34 CFR Part 30, August 30, 1988	yes___no___n/a___
q.	Secretary's Procedures and Criteria for Recognition of Accrediting Agencies; Final Regulations; 34 CFR Parts 602 and 603, July 1, 1988	yes___no___n/a___
r.	Department of Justice; Immigration and Naturalization Service; Implementation of the Immigration Reform and Control Act; Final Rules; May 1, 1987	yes___no___n/a___
s.	Family Educational Rights and Privacy; Final Regulations; 34 CFR Part 99, April 11, 1988	yes___no___n/a___

E. Institutional Eligibility and Program Participation Agreements:

1.	Letter of Eligibility as an approved/certified institution for administering federal programs (may need separate letters for additional sites/locations)	yes___no___n/a___
2.	Program Participation Agreements - Department of Education:	
a.	Federal Perkins (National Defense/Direct Student) Loan	yes___no___n/a___
b.	Federal Work-Study	yes___no___n/a___

Resource	**Available**
c. Federal Supplemental Educational Opportunity Grant	yes___no___n/a___
d. Federal Pell Grant	yes___no___n/a___
e. Federal Stafford Loan/Supplemental Loans for Students/PLUS	yes___no___n/a___
f. William D. Ford Federal Direct Loan	yes___no___n/a___
3. Program Participation Agreements - Dept. of Health and Human Services:	
a. Health Professions Student Loan Program (HPSL)	yes___no___n/a___
b. Nursing Student Loan Program (NSL)	yes___no___n/a___
c. Loans for Disadvantaged Students Program (LDS)	yes___no___n/a___
d. Scholarships for Disadvantaged Students Program (SDS)	yes___no___n/a___
e. Exceptional Financial Need Scholarship (EFN)	yes___no___n/a___
f. Financial Assistance for Disadvantaged Health Professions Students (FADHPS)	yes___no___n/a___
g. Health Education Assistance Loan Program (HEAL)	yes___no___n/a___
4. Certification Statements Required for Program Participation (ED and HHS)	
a. Drug-Free Workplace Certification signed by CEO	yes___no___n/a___
b. Certification of Drug-Free Schools and Campuses	yes___no___n/a___
c. Certification regarding Non-procurement Debarment and Suspension signed by CEO (for Federal Pell Grant)	yes___no___n/a___
d. Certification regarding Non-procurement Debarment and Suspension signed by CEO (for Federal Campus-based funds)	yes___no___n/a___
e. Disclosure of Lobbying Activities	yes___no___n/a___
F. Annual Institutional Applications *(Initial, Supplemental and Deobligation)*:	
1. Federal Perkins (NDSL) Loan/Federal Work-Study Program/Federal Supplemental Educational Opportunity Grant Program — FISAP	yes___no___n/a___
2. Health Professions Student Loan Program (HPSL)	yes___no___n/a___
3. Nursing Student Loan Program (NSL)	yes___no___n/a___
4. Exceptional Financial Need Scholarship Program (EFN)	yes___no___n/a___

Resource	**Available**
5. Scholarships for the Undergraduate Education of Professional Nurses Grant Program (for renewal applicants) (SUEPN)	yes___no___n/a___
6. Financial Assistance for Disadvantaged Health Professions Students Program (FADHPS)	yes___no___n/a___
7. Scholarships for Disadvantaged Students Program (SDS)	yes___no___n/a___
8. Loans for Disadvantaged Students Program (LDS)	yes___no___n/a___
9. Other: ______________________________	yes___no___n/a___
G. ED Award Notifications/Allocations/Authorizations	
1. Campus-Based Programs Official Notice of Funding	
a. Federal Supplemental Educational Opportunity Grant Program	yes___no___n/a___
b. Federal Perkins Loan/NDSL Program	yes___no___n/a___
c. Federal Work Study Program	yes___no___n/a___
2. Federal Pell Grant Statement of Account	yes___no___n/a___
3. Federal Pell Grant Administrative Cost Allowance	yes___no___n/a___
H. Annual HHS Authorization Letters *(for applicable programs and supplemental awards)*:	
1. Health Professions Student Loan Program	yes___no___n/a___
2. Exceptional Financial Need Scholarship Program (EFN)	yes___no___n/a___
3. Financial Assistance for Disadvantaged Health Professions Students Program (FADHPS)	yes___no___n/a___
4. Scholarships for Disadvantaged Students Program (SDS)	yes___no___n/a___
5. Loans for Disadvantaged Student Program (LDS)	yes___no___n/a___
6. Scholarships for the Undergraduate Education of Professional Nurses Grant Program (authorized for funds to renewal applicants only)	yes___no___n/a___
7. Other: ______________________________	yes___no___n/a___

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APPENDIX A

Resource	**Available**
Reports:	yes___no___n/a___
1. Fiscal Operations Report (part of the FISAP, ED Form 646-1)	
2. Campus Based Reallocation Form (ED Form E40-4P)	yes___no___n/a___
3. Reconciliation Reports for Title IV Programs	yes___no___n/a___
4. Federal Pell Grant Institutional Payment Summaries (IPS; ED Form 255-3b)	yes___no___n/a___
5. Federal Pell Grant IPS Batch Report (ED Form 255-3c)	yes___no___n/a___
6. Federal Pell Grant Student Payment Summary (SPS; ED Form 255-4)	yes___no___n/a___
7. Federal Perkins (NDSL) Report of Defaulted Loans (now part of the FISAP)	yes___no___n/a___
8. Documents relating to assignment and/or referral of Federal Perkins (NDSL) Loans (National Direct Student Loan Assignment Form, ED Form 553)	yes___no___n/a___
9. William D. Ford Federal Direct Loan Monthly Reconciliation Report	yes___no___n/a___
10. Health Professions Student Loan Quarterly Reports and Annual Operating Report	yes___no___n/a___
11. Exceptional Financial Need Scholarship Status Report	yes___no___n/a___
12. Nursing Student Loan and Scholarship Quarterly Reports and Annual Operating Report	yes___no___n/a___
13. Copies of the following reports related to the draw down of federal funds (exact reports needed will depend on method selected for draw downs and whether funds are drawn down through ED/PMS or DHHS/PMS):	
a. Request for Advance or Reimbursement (PMS 270)	yes___no___n/a___
b. Automated Clearing House Direct Deposit Sign-up Form (SF-1199A)	yes___no___n/a___
c. Automated Clearing House ACH/EFT Voucher Request Record or FEDWIRE Payment Request Information Voucher or ED Request for Advance or Reimbursement (PMS 270)	yes___no___n/a___
d. Letter of Credit, Treasury Financial Communication System (TFCS) Authorized Signature Card (Standard Form 1194)	yes___no___n/a___
e. TFCS Request for Funds (TFS Form 5805)	yes___no___n/a___
f. Letter of Credit, TFCS (Standard Form 1193A)	yes___no___n/a___
14. ED/PMS and DHHS/PMS Federal Cash Transactions Reports	
Required reports:	

Resource	**Available**
a. Status of Federal Cash (ED/PMS 272)	yes___no___n/a___
b. Federal Cash Transaction Report (ED/PMS 272-A)	yes___no___n/a___
c. Statement of Cash Accountability (ED/PMS 272-B)	yes___no___n/a___
Optional report:	
d. Error Correction Document (PMS 272-C) *(no longer in use as of March 31, 1993)*	yes___no___n/a___
Informational reports, as needed:	
e. Authorization for Future Periods (PMS 272-F)	yes___no___n/a___
f. Inactive Documents Report (PMS 272-G)	yes___no___n/a___
NOTE: Schools with annual award authorizations totaling $1 million or more may now be required to submit monthly expenditure reports using the Monthly Electronic Expenditure Reporting System (MEERS). MEERS will eventually replace the paper ED/PMS 272 Report.	
15. Other System/Institutional Reports:	
a. Annual report of completion or graduation rates and transfer-out rates, by gender and race with respect to athletically related student aid	yes___no___n/a___
b. Annual report on participation rates, financial support and other information concerning the school's intercollegiate athletic programs	yes___no___n/a___
Other:____	yes___no___n/a___
I. Audit Reports and Responses *(for Student Financial Aid Programs)*:	
1. Copies of federal, state and independent program review and audit reports and responses (if applicable) on student financial aid programs	yes___no___n/a___
2. Copies of prior student financial aid audits and closure letters	yes___no___n/a___
3. Any additional correspondence relating to follow up or corrective action taken and any subsequent findings and/or recommendations	yes___no___n/a___
4. Required non-Federal audit reports prepared and submitted to the appropriate Department of Education Regional Inspector General for Audits (RIGA)	yes___no___n/a___
Note: These audits are performed in accordance with the financial and compliance elements of the Department of Education's Audit Guide and/or appropriate OMB Circulars.	
a. Copies of audit engagement letters;	yes___no___n/a___

Resource **Available**

b. Copies of written Representation by Management made to the auditor concerning matters considered to be material to the financial statements yes___no___n/a___

5. If applicable, copies of annual audit reports issued on the entire institution. The reports can then be available to review any indications of problems relating to both Federal and non-Federal student aid programs yes___no___n/a___

J. Other Reference Documents:

1. Dear Colleague Letters as issued by the Department of Education yes___no___n/a___
2. Policy Memoranda as issued by the Department of Health and Human Services yes___no___n/a___
3. Letters of engagement with auditors—for your school and for other schools, for comparison of scope of review and fees yes___no___n/a___
4. Audit Readiness for Recipients of Federal Education Funds. Office of the Inspector General, U.S. Department of Education, April 1985 yes___no___n/a___

K. The institution should also have on file and be in compliance with the following laws, understanding how they impact student financial assistance programs:

1. Discrimination on the Basis of Race, Color or National Origin - Title VI of the Civil Rights Act of 1964. 42 U.S.C. 2000d-2000d-4; 42 CFR Part 80 yes___no___n/a___
2. Discrimination on the Basis of Sex - Title IX of the Education Amendments of 1972, 20 U.S.C. 1681-1683; 45 CFR Part 84 yes___no___n/a___
3. Discrimination on the Basis of Handicap - Sec. 504 of the Rehabilitation Act of 1973. 29 U.S.C. 794; 45 CFR Part 84 yes___no___n/a___
4. Discrimination on the Basis of Age - The Age Discrimination Act. 42 U.S.C. 6101 et seq., 45 CFR Part 90 yes___no___n/a___
5. Discrimination in Lending - Title VII of the Consumer Credit Protection Act, as amended. 15 U.S.C. 1601 et seq., 12 CFR Part 202 yes___no___n/a___
6. Privacy Act of 1974. 20 U.S.C. 1232q; 45 CFR Part 99 yes___no___n/a___
7. Immigration Reform and Control Act of 1986. 8 CFR Part 274a yes___no___n/a___
8. Tax Reform Act of 1986 (taxation of scholarships and fellowships), Sec. 117 of the Internal Revenue Code yes___no___n/a___

APPENDIX B: STUDENT AID LEGISLATION

Public Law 85-864	September 2, 1958 National Defense Education Act of 1958
Public Law 88-452	August 20, 1964 Economic Opportunity Act of 1964
Public Law 89-253	October 9, 1965 Economic Opportunity Amendments of 1965
Public Law 89-287	October 22, 1965 National Vocational Student Loan Insurance Act of 1965
Public Law 89-329	November 8, 1965 Higher Education Act of 1965
Public Law 89-698	October 29, 1966 International Education Amendments of 1966
Public Law 89-752	November 3, 1966 Higher Education Amendments of 1966
Public Law 89-794	November 8, 1966 Economic Opportunity Amendments of 1966
Public Law 90-82	September 6, 1967 To amend the College-Work Study Program with respect to institutional matching and permissible hours at work.
Public Law 90-247	January 2, 1968 Elementary and Secondary Education Amendments of 1967
Public Law 90-460	August 3, 1968 To extend for two years certain programs providing assistance to students at institutions of higher education, to modify such programs, and to provide for planning, evaluation, and adequate lead time in such programs.
Public Law 90-575	October 16, 1968 Higher Education Amendments of 1968
Public Law 91-95	October 22, 1969 Emergency Insured Student Loan Act of 1969
Public Law 91-230	April 13, 1970 To extend programs of assistance for elementary and secondary education, and other purposes.
Public Law 92-157	November 18, 1971 Comprehensive Health Manpower Training Act of 1971

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Public Law 92-158	November 18, 1971 Nurse Training Act of 1971
Public Law 92-318	June 23, 1972 Education Amendments of 1972
Public Law 92-391	August 19, 1972 Joint Resolution
Public Law 93-113	October 1, 1973 Domestic Volunteer Service Act of 1973
Public Law 93-269	April 18, 1974 To make certain appropriations available for obligation and expenditure until June 30, 1975, and for other purposes.
Public Law 93-380	August 21, 1974 Education Amendments of 1974
Public Law 93-579	December 31, 1974 Privacy Act of 1974
Public Law 94-43	June 28, 1975 Emergency Technical Provisions Act
Public Law 94-63	July 29, 1975 Nurse Training Act of 1975
Public Law 94-273	April 21, 1976 Fiscal Year Adjustment Act
Public Law 94-328	June 30, 1976 To amend the Higher Education Act of 1965, and for other purposes.
Public Law 94-482	October 12, 1976 Education Amendments of 1976
Public Law 94-484	October 12, 1976 Health Professions Education Assistance Act of 1976
Public Law 94-503	Crime Control Act (Law Enforcement Education Program)
Public Law 95-43	June 15, 1977 To make certain technical and miscellaneous amendments to provisions relating to higher education contained in the Education Amendments of 1976.
Public Law 95-180	November 15, 1977 To amend the Higher Education Act of 1965 to include the Trust Territory of the Pacific Islands in the definition of the term "state" for the purpose of participation in programs authorized by that Act.

Public Law 95-336	August 4, 1978 Alcohol and Drug Abuse Education Amendments of 1978
Public Law 95-561	November 1, 1978 Education Amendments of 1978
Public Law 95-566	November 1, 1978 Middle Income Student Assistance Act
Public Law 95-598	November 1, 1978 Uniform Law on the Subject of Bankruptcy
Public Law 96-49	August 13, 1979 Higher Education Technical Amendments of 1979
Public Law 96-56	August 14, 1979 Untitled
Public Law 96-342	September 8, 1980 Department of Defense Authorization Act, 1981
Public Law 96-374	October 3, 1980 Education Amendments of 1980
Public Law 96-536	December 16, 1980 Continuing Appropriations Act of 1980
Public Law 97-12	June 4, 1981 Supplemental Appropriations and Rescissions Act 1981
Public Law 97-35	August 13, 1981 Omnibus Budget Reconciliation Act of 1981
Public Law 97-92	December 15, 1981 Joint Continuing Resolution for FY-82
Public Law 97-161	March 31, 1982 Joint Continuing Resolution for FY-82
Public Law 97-216	July 18, 1982 Urgent Supplemental Appropriation for FY-82
Public Law 97-252	September 8, 1982 Fiscal Year 1983 Defense Department Authorization Act; with an amendment to the Military Selective Service Act
Public Law 97-257	September 10, 1982 Supplemental Appropriations for FY-82
Public Law 97-276	October 2, 1982 Continuing Resolution for FY 83

Public Law 97-301	October 13, 1982 Student Assistance Technical Amendments of 1982
Public Law 97-320	October 15, 1982 Garn-St. Germain Depository Institutions Act of 1982 (Truth in Lending)
Public Law 97-377	December 21, 1982 Continuing Resolution for FY-83
Public Law 98-8	March 24, 1983 Emergency Appropriations Act
Public Law 98-63	July 29, 1983 FY-83 Supplemental Appropriations Act
Public Law 98-79	August 15, 1983 Student Loan Consolidation and Technical Amendments Act of 1983
Public Law 98-94	September 24, 1983 1984 Defense Department Reauthorization
Public Law 98-139	October 31, 1983 FY-84 Appropriations
Public Law 98-151	November 14, 1983 FY-84 Continuing Resolution
Public Law 98-511	October 19, 1984 Contains Student Aid Technical Amendments of 1984
Public Law 98-558	October, 1984 Omnibus Social Services Bill
Public Law 98-619	November 9, 1984 FY-85 Appropriations
Public Law 99-177	December 12, 1985 Balanced Budget and Emergency Deficit Control Act of 1985
Public Law 99-178	December 12, 1985 FY-86 Education Appropriations
Public Law 99-272	April 7, 1986 Consolidated Omnibus Budget Reconciliation Act of 1985
Public Law 99-498	October 17, 1986 Higher Education Amendments of 1986
Public Law 99-500	October 1, 1986 FY87 Appropriations Continuing Resolution

Public Law 100-50	June 3, 1987 Higher Education Technical Amendments Act of 1987
Public Law 100-369	July 18, 1988 Untitled
Public Law 100-436	September 20, 1988 Department of Education FY89 Appropriations Act
Public Law 100-647	November 10, 1988 Revenue Act of 1988
Public Law 100-690	November 18, 1988 Omnibus Drug Initiative Act of 1988
Public Law 101-157	November 17, 1989 Fair Labor Standards Amendments of 1989
Public Law 101-166	November 21, 1989 FY90 Appropriations
Public Law 101-239	December 19, 1989 FY90 Budget Reconciliation
Public Law 101-226	December 12, 1989 Drug Free Schools and Communities Act Amendments of 1989
Public Law 101-476	October 30, 1990 Individuals with Disabilities Education Act
Public Law 101-508	November 5, 1990 Omnibus Budget Reconciliation Act of 1990
Public Law 101-517	November, 5 1990 Fiscal Year 1991 Appropriations Act
Public Law 101-527	November 6, 1990 Disadvantaged Minority Health Improvement Act of 1990
Public Law 101-542	November 11, 1990 Student Right-to-Know and Campus Security Act
Public Law 101-589	November 16, 1990 Excellence in Mathematics, Science and Engineering Education Act of 1990
Public Law 101-610	November 16, 1990 National and Community Service Act of 1990
Public Law 101-647	November 29, 1990 Crime Control Act of 1990

Public Law 102-25	July 25, 1991 Persian Gulf Conflict Supplemental Authorization and Personnel Benefits Act of 1991
Public Law 102-26	April 9, 1991 Higher Education Technical Amendments of 1991
Public Law 102-119	October 7, 1991 Individuals With Disabilities Education Act Amendments of 1991
Public Law 102-164	November 15, 1991 Emergency Unemployment Compensation Act of 1991
Public Law 102-170	November 26, 1991 FY 92 Appropriations Act
Public Law 102-325	July 23, 1992 Higher Education Amendments of 1992
Public Law 102-394	October 6, 1992 Department of Labor, Health and Human Services, and Education, and Related Agencies Appropriations
Public Law 103-66	August 10, 1993 Omnibus Budget Reconciliation Act of 1993
Public Law 103-82	September 21, 1993 National and Community Service Trust Act of 1993
Public Law 103-208	December 20, 1993 Higher Education Technical Amendments Act of 1993
Public Law 103-235	April 28, 1994 Certain Institutions of Higher Education, Exemption from Ineligibility Based on a High Default Rate, Extension
Public Law 103-322	September 13, 1995 Violent Crime Control and Law Enforcement Act of 1994 eliminated Pell Grant Eligibility for certain prisoners
Public Law 104-19	July 27, 1995 Emergency Supplemental Appropriations for Additional Disaster Assistance Act which decreased appropriated funds for FY95 for the Direct Loan Program
Public Law 104-66	December 21, 1995 Federal Reports Elimination and Sunset Act of 1995
Public Law 104-134	April 26, 1996 Fiscal Year 1996 Omnibus Appropriations Act

Public Law 104-188	August 20, 1996 Small Business Job Protection Act of 1996; GSP Renewal Act of 1996; Employee Commuting Flexibility Act of 1996; and Minimum Wage Increase Act of 1996.
Public Law 104-208	September 30, 1996 Omnibus Consolidated Appropriations Act; Immigration Control and Family Responsibility Act of 1996

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Comments:

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APPENDIX C: HEALTH PROFESSIONS LEGISLATION

Public Law 88-129	September 24, 1963 Health Professions Educational Assistance Act of 1963
Public Law 88-654	October 13, 1964 To amend Title VII of the Public Health Service Act so as to extend to qualified schools of optometry and students of optometry those provisions thereof relating to student loan programs.
Public Law 89-290	October 22, 1965 Health Professions Educational Assistance Amendments of 1965
Public Law 89-709	November 2, 1966 Veterinary Medical Education Act of 1966
Public Law 89-751	November 3, 1966 Allied Health Professions Personnel Training Act of 1966
Public Law 90-490	August 16, 1968 Health Manpower Act of 1968
Public Law 92-52	July 9, 1971 To amend the Public Health Service Act to extend for one year the student loan and scholarship provisions of Titles VII and VIII of such Act.
Public Law 92-157	November 18, 1971 Comprehensive Health Manpower Training Act of 1971
Public Law 92-585	October 27, 1972 Emergency Health Personnel Act Amendments of 1972
Public Law 93-385	August 23, 1974 To amend the Public Health Service Act to extend through fiscal year 1975 the scholarship program for the National Health Service Corps and the loan program for health professions students.
Public Law 94-278	April 22, 1976 Health Research and Health Services Amendments of 1976
Public Law 94-484	October 12, 1976 Health Professions Educational Assistance Act of 1976
Public Law 95-83	August 1, 1977 Health Planning and Health Services Research and Statistics Extension Act of 1977
Public Law 95-215	December 19, 1977 To amend the conditions for schools receiving capitation grants under section 770 of such Act, and for other purposes.
Public Law 95-598	November 6, 1978 To establish a uniform Law on the Subject of Bankruptcies.

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Public Law 95-623	November 9, 1978 Health Services Research, Health Statistics, and Health Care Technology Act of 1978
Public Law 95-626	November 10, 1978 Health Services and Centers Amendments of 1978
Public Law 96-538	December 17, 1980 Health Programs Extension Act of 1980
Public Law 96-221	Amended April 7, 1981 To revise the Truth-in-Lending disclosure requirements for loans made on or after October 1, 1982.
Public Law 97-35	August 31, 1981 Omnibus Reconciliation Act of 1981.
Public Law 99-92	August 16, 1985 The Nurse Education Amendments of 1985.
Public Law 99-129	October 22, 1985 The Health Professions Training Assistance Act.
Public Law 100-607	November 4, 1988 Health Omnibus Programs Extension of 1988
Public Law 101-93	August 16, 1989 Drug Abuse Treatment Technical Corrections Act of 1989
Public Law 101-476	October 30, 1990 Individuals with Disabilities Education Act
Public Law 101-527	November 6, 1990 Disadvantaged Minority Health Improvement Act of 1990
Public Law 102-25	April 6, 1991 Persian Gulf Conflict Supplemental Authorization and Personnel Benefits Act of 1991
Public Law 102-408	October 13, 1992 Health Professions Education Extension Amendments of 1992
Public Law 103-43	June 10, 1993 National Institutions of Health Revitalization Act of 1993
Public Law 103-66	August 10, 1993 Omnibus Budget Reconciliation Act of 1993
Public Law 103-183	December 14, 1993 Preventive Health Amendments of 1993

APPENDIX D: NURSE TRAINING LEGISLATION

Public Law 88-581	September 4, 1964 Nurse Training Act of 1964
Public Law 89-290	October 22, 1965 Health Professions Educational Assistance Amendments of 1965
Public Law 89-751	November 3, 1966 Allied Health Professions Personnel Training Act of 1966
Public Law 90-174	December 5, 1967 Partnership for Health Amendments of 1967
Public Law 90-490	August 16, 1968 Health Manpower Act of 1968
Public Law 91-515	October 30, 1970 Heart Disease, Cancer, Stroke, and Kidney Disease Amendments of 1970
Public Law 92-52	July 9, 1971 To amend the Public Health Service Act to extend for one year the student loan and scholarship provisions of Titles VII and VIII of such Act.
Public Law 92-158	November 18, 1971 Nurse Training Act of 1971
Public Law 93-385	August 23, 1974 To amend the Public Health Service Act to extend through fiscal year 1975 the scholarship program for the National Health Service Corps and the loan program for health professions students.
Public Law 94-63	July 29, 1975 Nurse Training Act of 1975
Public Law 94-484	October 12, 1976 Health Professions Educational Assistance Act of 1976
Public Law 95-83	August 1, 1977 Health Planning and Health Services Research and Statistics Extension Act of 1977
Public Law 96-76	September 29, 1979 Nursing Training Amendments of 1979
Public Law 96-221	Amended April 7, 1981 To revise the Truth-in-Lending disclosure requirements for loans made on or after October 1, 1981.
Public Law 97-35	August 31, 1981 The Omnibus Reconciliation Act of 1981.
Public Law 99-92	August 16, 1985 The Nurse Education Amendments of 1985.

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Public Law 100-607	November 4, 1988 Health Omnibus Programs Extension of 1988
Public Law 101-93	August 16, 1989 Drug Abuse Treatment Technical Corrections Act of 1989
Public Law 102-408	October 13, 1992 Health Professions Education Extension Amendments of 1992
Public Law 103-43	June 10, 1993 National Institutes of Health Revitalization Act of 1993

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APPENDIX E

ABBREVIATIONS FREQUENTLY USED IN FINANCIAL AID OFFICES

AAMC	Association of American Medical Colleges
ACA	Administrative Cost Allowance
ACH/EFT	Automated Clearing House/Electronic Funds Transfer
ACT	American College Testing Program
ADC/AFDC	Aid to Dependent Children/Aid to Families with Dependent Children
AFSA	Application for Federal Student Aid prior to 1993-94 (see FAFSA)
AGI	Adjusted Gross Income
AY	Academic Year or Award Year
BHPDS	Bureau of Health Personnel Development and Service
BIA	Bureau of Indian Affairs
CFAR	Comprehensive Financial Aid Report (ACT)
CFR	Code of Federal Regulations
CM	Congressional Methodology (see FM)
COA	Cost of Attendance
CPS	Central Processing System
CSLP	Community Service Learning Program
CSS	College Scholarship Service
CWS or CWSP	College Work-Study Program (see FWS)
DCL	Dear Colleague Letter (USDE)
DEAP	Dependents Educational Assistance Program (VA)
DHHS	Department of Health and Human Services
EASFAA	Eastern Association of Student Financial Aid Administrators
ED	Department of Education
EDE	Electronic Data Exchange
EDPMS	Department of Education Payment Management System (formerly EDPMTS)
EEOC	Equal Employment Opportunity Code
EFC	Expected Family Contribution
EFN	Exceptional Financial Need Scholarship
EFT	Electronic Funds Transfer
ELO	Expanded Lender Option
EOP	Educational Opportunity Program
ESAR	Electronic Student Aid Report
ESL	English as a Second Language
ESOA	Electronic Statement of Account

FA	Financial Aid
FAA	Financial Aid Administrator
FADHPS	Financial Assistance for Disadvantaged Health Professions Students
FAF	Financial Aid Form (CSS)
FAFNAR	Financial Aid Form Need Analysis Report (CSS)
FAFSA	Free Application for Federal Student Aid
FAIR	Financial Aid Institutional Report (USAF)
FAO	Financial Aid Office
FAT	Financial Aid Transcript
FC	Family Contribution
FCC	Federal Capital Contribution
FDSLP	Federal Direct Student Loan Program
FERPA	Family Educational Rights and Privacy Act
FFS	Family Financial Statement (ACT)
FISAP/FISCOP	Fiscal Operations Report and Application for Funds
FISL	Federal Insured Student Loan
FFEL/FFELP	Federal Family Education Loan Program
FM	Federal Need Analysis Methodology/Federal Methodology
FR	Federal Register
FSEOG	Federal Supplemental Educational Opportunity Grant
FSFA Handbook	Federal Student Financial Aid Handbook (USDE)
FT	Full-time
FTE	Full-time Equivalent
FWS	Federal Work-Study Program (formerly College Work-Study)
FY	Fiscal Year
GAPSFAS	Graduate & Professional School Financial Aid Service (ETS)
GAO	Government Accounting Office
GES	General Electronic Support network (USDE)
GPA	Grade Point Average
GSL/GSLP	Guaranteed Student Loan/Program (see FFELP)
HEA	Higher Education Act
HEAF	Higher Education Assistance Foundation
HEAL	Health Education Assistance Loan Program
HHS	Department of Health and Human Services
HPSL	Health Professions Student Loan

ICC	Institutional Capital Contribution
ICL	Income Contingent Loan
IG	Inspector General
INS	Immigration and Naturalization Service
IPS	Institutional Payment Summary
IQAP	Institutional Quality Assurance Program
IRS	Internal Revenue Service
ISIR	Institutional Student Information Record
JLD	Job Location and Development
JTPA	Job Training Partnership Act
LDS	Loans for Disadvantaged Students
L,S&T	Limitation, Suspension or Termination (of an institution's eligibility to participate in Title IV programs for failure to comply with law or regulation)
MASFAA	Midwest Association of Student Financial Aid Administrators
MDE	Multiple Data Entry Servicer
NACUBO	National Association of College & University Business Officers
NASFAA	National Association of Student Financial Aid Administrators
NCAA	National College Athletic Association
NCS	National Computer Systems
NDSL	National Defense/Direct Student Loan
NEISP	National Early Intervention Scholarship Partnership Program
NHSC	National Health Service Corps
NIH	National Institutes of Health
NPRM	Notice of Proposed Rulemaking
NSL	Nursing Student Loan
NSLDS	National Student Loan Data System
OSFA	Office of Student Financial Assistance
PC	Parental Contribution
PCL	Primary Care Loan
PGI	Pell Grant Index (formerly Student Aid Index)
PGRFMS	Pell Grant Recipient and Financial Management System
PHEAA	Pennsylvania Higher Education Assistance Agency
PL	Public Law
PLUS	Parent Loan
PPA	Program Participation Agreement

[illegible] Loan Program

PGRFMS	Pell Grant Recipient and Financial Management System
PT	Part-time
RAD	Renewal Application Destination
RDE	Recipient Data Exchange
RMASFAA	Rocky Mountain Association of Student Financial Aid Administrators
SAI	Student Aid Index (see PGI)
SAR	Student Aid Report
SASFAA	Southern Association of Student Financial Aid Administrators
SC	Student Contribution
SCR	Student Confirmation Report
SDS	Scholarships for Disadvantaged Students
SEOG	Supplemental Educational Opportunity Grant (see FSEOG)
SFA	Student Financial Aid
SFAP	Student Financial Assistance Programs (USDE)
SLMA	Student Loan Marketing Association (Sallie Mae)
SLS	Federal Supplemental Loans for Students
SOA	Statement of Account
SPS	Student Payment Summary
SSCR	Student Status Confirmation Report
SSI	Supplemental Security Income
SSIG	State Student Incentive Grant
SUEPN	Scholarships for the Undergraduate Education of Professional Nurses
SWASFAA	Southwest Association of Student Financial Aid Administrators
TIV WAN	Title IV Wide Area Network
TFC	Total Family Contribution
T/L	Truth-in-Lending
UM	Uniform Methodology (see FM)
USAF	United Student Aid Funds
USDE/USED	United States Department of Education
VA	Veteran's Administration
VEAP	Veterans Educational Assistance Program
WASFAA	Western Association of Student Financial Aid Administrators

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